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ABSTRACT

A study was undertaken to investigate the role of state boards and systems of higher education in the statewide coordination and funding of public senior academic libraries. Data and information were gathered during the fall of 1976 and the summer of 1977 from on-site interviews with staff members of boards and systems of higher education in ten states outside North Carolina, and questionnaires were mailed to state agencies of higher education in all 50 states. Wide variations among states in the funding and planning for libraries necessitated that the information and data obtained be presented in descriptive and expository form. Results are presented in four chapters, one for each of the major areas investigated--planning for library development; the role of advisory committees of librarians; interlibrary cooperation; and funding. Major findings indicate that (1) although little uniformity exists among states in the methods of funding academic libraries, there is a trend toward the use of formulas in statewide funding patterns; (2) a wide variety of budget formulas are presently being used and it is not likely that an "ideal" formula will be universally adopted; (3) there is a growing trend in overall planning and coordination of library resources within states; and (4) practically every state now has either an official advisory committee or volunteer committees. A selective bibliography and a copy of the questionnaire are appended. (JPF)

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STATE SYSTEMS OF HIGHER EDUCATION AND LIBRARIES:

A REPORT FOR THE COUNCIL ON LIBRARY RESOURCES

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Isaac T. Littleton
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PREFACE

This report presents information based on a study of the statewide coordination and funding of public senior academic libraries. The Board of Trustees and administration of North Carolina State University granted professional leave to the author during the Fall of 1976 to carry out the field study. The Council on Library Resources generously provided financial support through its Fellowship program for travel to ten states outside North Carolina to enable the author to interview state higher education officials and representative librarians. The generosity of the Council on Library Resources and North Carolina State University is deeply appreciated. The author also owes a debt of gratitude to all state officials and librarians who provided information in interviews and questionnaires. It must be pointed out that the observations herein are those of the author and in no way reflect positions of the Council on Library Resources or North Carolina State University.

It is hoped that the report will contribute substantially to an understanding of the influence that statewide systems of higher education are having on the development of library resources and services.

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STATE SYSTEMS OF HIGHER EDUCATION AND LIBRARIES

I. Introduction

A major trend in higher education during the 1950's and 1960's was the establishment of boards or commissions in nearly every state to coordinate planning and financing of public colleges and universities. Prior to 1950, statewide higher education boards existed in only three states. But in the mid-1970's all but three states had established some type of board of higher education. Public colleges and universities have become, in practically every state, parts of a statewide system of higher education.[1] The origins and overall functions of these higher education agencies have been the subject of a flood of books and articles,[2] but, with the exception of a few studies on statewide library formula budgeting, little has been written about their influence on academic library development. Because of the rising costs and declining budgets of colleges and universities in the mid-1970's, state boards and systems of higher education are becoming increasingly involved in both the funding and the coordination of academic libraries in an effort to make the most efficient use of the resources within states.

This study was undertaken to gain a better understanding of the role that these state boards and systems of higher education are playing in academic library operations. Is any attempt being made by state agencies of higher education to find solutions to pressing problems of libraries caused by declining or stabilized budgets, inflation, space needs, and the use of technology?

It is important for librarians to learn about these agencies and their relationship to academic libraries and especially the decision-making process in the funding of state-supported university libraries. How are decisions made? Who makes them? Is it the coordinating or governing board, the

budget division, the governor, the legislature, or the university's own administration? What input do librarians have in this process? Are budget decisions for state-supported agencies based on logic and need or are they more likely based on political and economic factors? What influence do the state boards play in the politics of budgeting for libraries? State-supported libraries operate in a political environment as well as an academic environment.

Four major areas of system or statewide coordination of senior academic libraries were investigated: (1) planning for library development, (2) the role of advisory committees of librarians, (3) interlibrary cooperation and (4) funding. A section of this report is devoted to each of these areas.

The influence of state boards on the status and tenure of librarians was at first to be a major area of investigation. However, it was discovered that, with few exceptions, personnel policies relating to professional librarians are decided on each campus, usually with the approval of the institutional board of trustees and not at a statewide level. Consequently, in many states, there may be considerable variation from campus to campus, ranging all the way from the granting of full faculty status with faculty ranks and titles to classification in a state personnel system. The findings in this area of investigation can be summarized briefly.

A small minority of state systems of higher education do establish uniform personnel policies for all public academic librarians. In Virginia, Oregon and Hawaii, all librarians in public colleges and universities have full faculty status with faculty rank and title. In Kansas, the California State University and Colleges (CSUC) and the University of California (UC) systems, librarians are given academic status with about the same perquisites

as faculty but without faculty titles or tenure; and in North Dakota all librarians are classified under a state personnel system but individuals may also hold faculty rank and have other faculty perquisites.

All librarians in the 35 senior institutions of the State University of New York (SUNY) have faculty status with librarian titles which are subject to the same peer review and tenure criteria as other faculty. Both the status and salary levels are functions of the bargaining agreement of a faculty union which operates in the 35 senior institutions. Maximum salary levels are now established for the four librarian ranks.* One important difference between the status of librarians and other faculty is that the maximum salary levels for librarian ranks are not as high as for other faculty ranks; it is interesting to note, however, that the salaries of librarian ranks have been increased as a result of union negotiation. State employee and faculty unions operate in only a few states at the present time, but union negotiation may become an important new function of an increasing number of state systems or boards of higher education as unions spread to other states.

Procedure

Data and information were obtained during the Fall of 1976 and the summer of 1977 by on-site interviews with staff members of boards and systems of higher education in ten states outside North Carolina. The author also visited representative libraries and talked to librarians in each of the states. State agencies and libraries visited were:

*Maximum salary levels will be replaced by minimum salary levels in union bargaining discussions in the Spring of 1978.

Ohio:	Ohio Board of Regents, Columbus Ohio State University Library, Columbus Ohio University Library, Athens
Wisconsin:	University of Wisconsin System, Madison, Wisconsin University of Wisconsin Library, Madison
Colorado:	Colorado Commission on Higher Education University of Colorado at Boulder University of Colorado Library at Denver Colorado State University, Fort Collins
New York:	New York Board of Regents, Albany State University of New York (SUNY) System, Albany State University of New York at Albany Library
California:	California State Colleges and Universities, Long Beach University of California Systemwide Administration, Office of the Executive Director of Universitywide Library Planning, Berkeley California State University, Long Beach Library University of California at Berkeley Library
Texas:	Coordinating Board, Texas College and University System, Austin University of Texas at Austin Southwest Texas State University, San Marcos
Virginia:	State Council of Higher Education for Virginia, Richmond Virginia Commonwealth University, Richmond
South Carolina:	South Carolina Commission on Higher Education, Columbia University of South Carolina Library, Columbia
Florida:	Florida Board of Regents, Tallahassee Florida State University Library, Tallahassee Florida A and M College, Tallahassee
Georgia:	Georgia Board of Regents, Atlanta Georgia Institute of Technology Library, Atlanta University of Georgia Library, Athens

Before visiting states outside North Carolina, the author conducted a study of the involvement of the North Carolina Board of Higher Education* and the Board of Governors of the University of North Carolina** in the

*a coordinating board that was phased out in 1972
**a governing board over all public senior institutions established July 1, 1972

planning and funding of academic libraries. It was found that, due to the efforts of these two boards, and with the advice of the University Library Advisory Council, budgets of the 16 public university and senior college libraries in the state rose 174% from 1968 to 1975. The base budgets of most of the institutional libraries increased anywhere from 150 to over 300 percent during this period. The quality of library services and resources has been improved in all 16 institutions under a funding program designed to raise the libraries up to national standards and to substantially increase continuing financial support for libraries. A number of statewide cooperative projects have also been initiated in order to provide more effective sharing of resources. The main factor responsible for this success was a strong commitment to library development by the staffs of the two boards.

Questionnaires relating to library funding, planning, cooperation, advisory committees of librarians and the status of librarians were mailed to state agencies of higher education in all 50 states. On the visits and in the questionnaires, the author requested long-range plans, reports, surveys, budgeting instructions and formulas that explain or describe the role these agencies play in library development. As a result, information comprising two vertical file drawers of material has been received from 38 states. Of the 12 states that did not respond, one has no statewide agency, two have voluntary agencies, five have coordinating agencies and four, governing boards. It is known that the boards in most of these states have or take no responsibility for academic library development. Because of a wide variation among the states in the funding and planning for libraries, statistical analysis is not the best method for dealing with the information; the report is necessarily descriptive and expository.

The data gathered from visits and questionnaires have been summarized in this report to provide a description of the major planning efforts for senior academic libraries within each state. It is hoped that this information will be of assistance to the staffs of state boards of higher education, to campus administrators, and to librarians. Although a large part of the report deals with funding methods, an attempt has been made to place this important function into the broader perspective of the overall planning role of state boards of higher education. Coordinated funding of public academic libraries was the first area relating to libraries in which state boards of higher education began to operate, but overall library planning and development is becoming an increasingly important function of these agencies. An understanding of the influence of these boards on library development is especially important as the library community begins to plan for a national network of library and information services, because with the financial support and cooperation from these powerful statutory boards, academic library development can be more effectively coordinated and planned.

Notes

[1] cf. Corson, John J. The Governance of Colleges and Universities: Modernizing Structures and Processes (Revised Edition), McGraw-Hill, 1975, p. 50.

[2] Some of the books on higher education which provide information on the functions of these agencies are: Robert O. Berdahl, Statewide Coordination of Higher Education. Washington, D. C., American Council on Education, 1971; Carnegie Commission on Higher Education, Governance of Higher Education: Six Priority Problems, New York, McGraw-Hill, 1973; M. M. Chambers, Higher Education and State Governments, 1970-1975, Danville, Illinois, Interstate Printers and Publishers, 1974; John J. Corson, op. cit.; Olga D. Henderson and Jean Glidden Henderson, Higher Education in America, Jossey-Bass Publishers, 1974; Eugene C. Lee and Frank M. Bowen, The Multicampus University, McGraw-Hill, 1971; D. Kent Halstead, Statewide Planning in Higher Education, U. S. Department of Health, Education and Welfare. Office of Education and Welfare. Office of Education (DHEW Publication No. (OE) 73-17002) 1974; Carnegie Foundation for the Advancement of Teaching. The States and Higher Education and Supplement, Jossey-Bass, 1976; National Commission on the Financing of

Postsecondary Education, Financing Post-Secondary Education in the United States, Washington, D. C., U. S. Government Printing Office, 1973.

II. Statewide Agencies of Higher Education

The reasons for the establishment of statewide agencies of higher education in almost every state during the 1950's and 1960's have been fully analyzed and reported by Corson, Berdahl, the National Commission on the Financing of Post Secondary Education, Henderson and Henderson and in numerous publications by the Carnegie Commission on Higher Education.[1]

The two factors that contributed the greatest to their spread were: (1) substantial expansion due to unprecendented enrollment increases during the 1950's and 1960's and (2) growth in the diversity of functions and programs.

Enrollment in institutions of higher education has increased five-fold since 1951-52--from slightly more than 2,000,000 students to over 10,000,000 in the mid-1970's. The greatest portion of increase occurred in public institutions in which enrollment rose from 719,440 in 1951-52 to 2,352,000 in 1961-62, to 7,127,544 in 1972-73.[2] In 1951-52 there were 638 public institutions of higher education; by 1973-74 the number had almost doubled.[3] Corson reports that in 1970, 70 per cent of all students enrolled were in public institutions; by 1980, it is predicted that 77 per cent will be enrolled in publicly-supported institutions.[4] Higher education has increasingly become a major responsibility of state governments.

The unprecendented increase in numbers of students was accompanied by an unparalleled increase in diversity of academic programs and functions of higher education as well as greater specialization in curricula and research. Glenny has described some of the developments that were taking place:

> Universities began extensive research programs in the physical and biological sciences; provided new services for the farmers, industries and other special interest

> groups; added professional schools in new areas such as social work, public administration, industrial relations, and municipal management; further specialized in agriculture, medicine, and dentistry; and increased course offerings in almost all previously existing fields. Land-grant colleges began to extend their programs into academic and professional disciplines which had traditionally been offered only by the state university.[5]

The reasons for the unprecendented growth in "the golden age of higher education" have been outlined in detail by many authorities. Briefly, they can be summarized as follows: (1) the return of World War II veterans in the 1950's, (2) an increase in the number of persons of college age in the population, and (3) radical social and technological changes in society. During this time of expansion and diversification it was essential that the financial resources of each state be used as efficiently as possible if quality education was to be provided. In a report for the Southern Regional Education Board, Dr. A. J. Brumbaugh stated in 1963 that "The future of higher education will depend on planning and coordination within each state--the twin keys to effectiveness and quality."[6] States were advised to establish statewide coordinating agencies as the best approach to statewide planning. He outlined requirements for effective state planning. Planning and governing boards that were created during the 1950's and 1960's were responses to unparalleled pressures and expansion during the period.

The problems facing higher education are different in the mid-seventies than in the fifties and sixties but no less challenging. During the 1970's, enrollments and budgets are stabilizing and, in some institutions, declining. The decreased rate of growth is caused by a number of factors, but especially by a sagging economy and a high rate of inflation as well as competing needs of other segments of state government. Enrollments are affected by economic

conditions as well as a drop in the number of college age persons in the population. Henderson and Henderson say that the wave of growth in the 1960's "has left in its wake a multitude of problems."[7] Social policy toward higher education is being questioned. "The changes grow out of a reexamination of purposes, out of a realization that segments of the population have been by-passed as we have worked for equality of opportunity, out of a surge of experiments and innovations in programs, and as a result of a trend toward systems of institutions."[8] A fresh sense of direction to guide colleges and universities is needed in the midst of social change. The need for coordination in a period of stabilization, high inflation and declining budgets, and more advanced technology is just as great as, if not greater than, in the 1960's. An era of affluence and growth is changing rapidly into an era of austerity, declining enrollments and less public acceptance of higher education.

Functions of State Higher Education Boards. A. J. Brumbaugh has summarized the major functions of state higher education boards as follows:

"1. The identification of immediate and long-range post-secondary educational needs of the state . . .

2. The identification of changing economic conditions and the implications of these changes for higher education . . .

3. The appraisal of plans, needs and resources of existing higher institutions, public and private and the planning of new institutions and new facilities; when they will be needed, where they should be located, and what they will cost . . .

4. The definition of the role and scope of each publicly supported college and university . . .

5. The appraisal and/or approval of the operations of each state higher institution . . .
6. The conduct of continuing studies to keep information about higher education and its needs up to date."[9]

Encompassed in these six broad categories are the more specific functions of long-range planning; approval of new academic programs; reviewing, consolidating, and approving or recommending institutional budget requests; establishment of personnel policies; the formulation of plans for racial integration of institutions; and coordination of the development and use of library resources. The functions of boards vary considerably from state to state depending upon the legal authority and the budgetary role granted to the agencies by the respective legislatures and the governors.

Types of Statewide Agencies of Higher Education. State agencies of higher education can be classified into three main types: coordinating, governing and voluntary. As of July 1, 1976, 27 states have statewide coordinating agencies and 20, governing boards. Vermont is the only state that has no statewide agency, whereas Delaware and Nebraska have voluntary agencies with no legal status.[10] Berdahl and Chambers have described the types of statewide agencies, outlined their history, and provided dates when each was established.[11]

Coordinating agencies have advisory and recommending authority only. They are usually charged by state legislatures to make studies, surveys, and long-range plans for higher education and to approve new academic programs. Some coordinating agencies, such as the Ohio Board of Regents, have strong budgetary roles by providing guidelines for institutional budget requests and others, such as the New York Board of Regents, have no budgetary

role.

Governing boards, on the other hand, are responsible for a multi-campus university system[12] with the authority to approve systemwide budgets, capital improvement requests, new academic programs, and to appoint institutional chief executives. Governing boards generally have a strong budgetary role and strong legal authority. This authority sometimes has a constitutional basis but, in most systems, the authority is granted by legislative statute.

A few of the larger states have a coordinating board and two or more multi-campus universities with their own governing boards or Boards of Trustees. New York and California have this arrangement. These two states have the most complex higher education establishments and the most highly coordinated academic library systems in the country.

In New York, the coordinating agency is the New York Board of Regents which has policy-making authority over higher education and a coordinating role over all libraries. The State Education Department is the administrative arm of the Board of Regents and the New York State Library is an agency of the State Education Department. The Board of Regents has the authority to approve new academic programs and long-range planning authority over all institutions of higher education, both public and private, but it has no budgetary authority. The Board of Regents, through the State Education Department, has responsibility for setting standards for all academic libraries and for statewide library planning. There are two systems of higher education in New York with separate governing boards that make budget requests directly to the Governor and the legislature. These are the State University of New York (SUNY) and the City University of New York (CUNY). SUNY is a large system with four university centers that offer undergraduate, masters and

doctoral degrees; four medical centers; 14 four-year colleges; six agricultural and technological colleges; two statutory colleges; and 40 community colleges.[13] SUNY and CUNY[14] are responsible to the New York Board of Regents for academic policy and program registration.

In California, the California Postsecondary Education Commission is the coordinating agency but takes no responsibility for libraries. The 29 senior public institutions are in one of two systems: the University of California with 10 campuses and the California State University and Colleges system with 19 campuses. The authority of the California State Colleges and Universities System was established by legislative statute as contrasted to that of the University of California system which has a constitutional basis. In 1960 the California legislature passed an Act establishing the California State College system under a Board of Trustees.[15] The Act delineated the functions of both the State College system and the University of California system. The legislature declared that the University of California is "the primary state supported academic agency for research," and reaffirmed it as the sole authority to award the "doctoral degree in all fields of learning" and to offer instruction in the professions of law, medicine, veterinary medicine and architecture.[16] The primary function of the California State College system is to provide instruction for undergraduate students and graduate students through the Master's degree.[17]

Responsibility for Library Planning. In many states, library coordination is considered a minor aspect of the board's activity and, therefore, matters relating to libraries are delegated to a staff assistant; in other states, depending upon the priority assigned to libraries, library matters are delegated to the Academic Vice Chancellor or an Assistant Director for

Academic Affairs or for Research. The Virginia State Council on Higher Education employs a full-time Library Planning Coordinator and its progressive library program is indicative of the importance that is placed on libraries by the Council.

The most integrated systemwide library coordination and planning are done in the states that employ sizeable staffs for library planning. Examples of these are: the New York Board of Regents, the State University of New York (SUNY), the University of California and the California State University and Colleges System. The New York Board of Regents coordinates library resource sharing and sets library standards through the State Education Department and the Staff of the New York State Library.

SUNY has employed a full-time Director of Library Services since 1962. The Director, assisted by several full-time staff members, has developed a computerized network for the SUNY libraries using the OCLC data base. He coordinates cooperative resource sharing programs, conducts surveys and studies of library operations and works with advisory committees of librarians in the development of systemwide library resources and services.

The California State University and Colleges coordinates library development and funding through the Director of Learning Services Development who is one of six Deans and Directors reporting to the Vice Chancellor for Academic Affairs. His staff includes an Assistant Director for Libraries and a number of computer personnel. The staff has received funding for a systemwide program of automation and cooperation and is involved in a continuous program of library planning from a systemwide perspective.

The University of California employs the largest staff and has the most advanced program for systemwide library planning of any system of higher

education in the country. The position of Executive Director of University-wide Library Planning which was established in January 1976 was upgraded in September 1977 to Assistant Vice President for Library Plans and Policies, one of four Assistant Vice Presidents reporting to the Academic Vice President. The position is responsible for library planning, budgeting, and cooperation through five major staff members: Senior Budget Analyst, Manager of Library Studies, Manager of Bibliographic Projects, Manager of Computerized Information Services, and an Assistant for External Services. Approximately 50 full-time equivalent staff members work on projects under these five positions. The major responsibilities of the Assistant Vice President for Library Plans and Policies are: (1) to coordinate and implement the decisions of the Library Policy Steering Committee (a systemwide committee of administrators, faculty and librarians), (2) to develop long-range and short-range plans for the library system involving special studies and research on library operations and liaison with the Library Council composed of the head librarians of the campus libraries, (3) to develop systemwide library automation, (4) to serve as liaison with the state Budget Office on library matters, (5) to develop intercampus library cooperation, and (6) to provide legislative analysis on library needs and projects. The office of the Executive Director of University-wide Library Planning published in 1977 "A Plan for Development" of the University of California Libraries from 1978-1988.[18] This master plan for libraries has been approved by the President of the University system, and funds for its implementation are being requested. Some of the details of the California plan and systemwide organization and cooperation will be discussed in other sections of this report.

The survey shows that the two states (New York and California) with the

largest number of public colleges and universities and student populations have found it necessary to develop sizeable staffs at the system level to provide effective library coordination and planning.

Notes

[1]See note #2 for Chapter I, "Introduction".

[2]Corson, op. cit., p. 5; National Commission on the Financing of Post-Secondary Education, Financing Post-Secondary Education in the United States, Washington, D. C., U. S. Government Printing Office, 1973, p. 15.

[3]Corson, op. cit., p. 5.

[4]Ibid., p. 7.

[5]Lynam A. Glenny, Autonomy of Public Colleges: The Challenge of Coordination, McGraw-Hill, 1959, p. 13.

[6]A. J. Brumbaugh, Statewide Planning and Coordination of Higher Education, Southern Regional Education Board, 1963, p. 1.

[7]Algo D. Henderson and Jean Glidden Henderson, Higher Education in America, Jossey-Bass Publishers, 1974, p. 1.

[8]Ibid., p. 1.

[9]Brumbaugh, op. cit., pp. 6-8.

[10]Based on a list of statewide boards, dated July 20, 1976 issued by the State Higher Education Executive Officers.

[11]Robert O. Berdahl, Statewide Coordination of Higher Education, Washington, D. C., American Council on Education, 1971; M. M. Chambers, Higher Education and State Governments, 1970-75, Danville, Illinois, Interstate Printers and Publishers, 1974.

[12]For a thorough critique and description of the multicampus universities see: Eugene C. Lee and Frank M. Bowen, The Multicampus University: A Study of Academic Governance, McGraw-Hill, 1971.

[13]State University of New York, Directory of Head Librarians, 1974.

[14]See: William J. Myrick, Jr., Coordination: Concept or Reality?, Metuchen, N. J., The Scarecrow Press, 1975, for a history of library cooperation and coordination in the City University of New York.

[15]California. Education Code Division 16.5. Higher Education. Senate Bill No. 33, Chapter 49 (approved by Governor April 27, 1960. Filed with Secretary of State April 27, 1960.)

[16]Ibid., p. 2.

[17]Ibid., p. 4.

[18]California. University. Office of the Executive Director of University wide Library Planning. The University of California Libraries: A Plan for Development, 1978-1988, Berkeley, California, July 1977.

III. Planning for Library Development

Planning for higher education is a major function of state governing and coordinating boards. For the most effective results, planning must be a continuing activity done on a day-to-day basis. A large number of states have developed and published master plan documents covering a given period of time, usually five, ten or 15 years--which may be updated at regular intervals. The University of North Carolina Board of Governors produces a five-year plan which is updated annually.[1] Beginning in 1966, the Ohio Board of Regents produced three master plans at five-year intervals.[2] State master plans vary considerably in subject matter and detail but the six topics outlined by Brumbaugh which were cited on pages 10 and 11 in Chapter II of this report are generally covered in the plans.

An increasing number of boards are including libraries in statewide planning because of the need to make the most effective use of resources in a period of declining budgets. If coordinating and governing boards plan for libraries at all, it is done in one of three ways. First, a section or chapter of the state master plan may deal with libraries. The treatment in many of these documents is sometimes comprehensive, covering collections, staffing, service, funding, physical facilities and cooperation. Some of the plans set goals for the size of collections, staff and physical space of institutional libraries by the use of standard formulas. Others may deal with only one or two of these areas.

Secondly, several state agencies have published separate surveys of library resources and services which may be done by outside experts, as in South Carolina in 1976,[3] or by librarians within the state, as in Alabama in 1972.[4] Although many of these surveys include general recommendations, they

tend to be more descriptive and fall short of providing a master plan for statewide academic library development.

Finally, the state agency may develop a master plan for libraries outlining an integrated library system. The elements of a library system may include a coordinated statewide funding plan for collections and staff; a plan for an automated network, involving shared cataloging; a joint online catalog of holdings; a cooperative acquisitions program; a plan for resource sharing with programs that encourage intercampus use of materials; and a plan for joint storage of lesser used materials. The University of California Plan for Development, 1977/78 is the best example of such a plan.[5]

Notable examples of each of these methods of library planning efforts will be highlighted. The 1966 Master Plan for higher education in Ohio, in a brief section on libraries,[6] contained two items that have had a significant impact on libraries. Verner Clapp was the library consultant for this Master Plan and used a quantitative formula to measure the adequacy of collections of Ohio senior public academic libraries. The formula was an original method for measuring adequacy, based on FTE enrollment, number of faculty and the number of academic programs by level. It is widely known today as the Clapp-Jordan formula.[7] It was meant to be used only as a measure of minimal adequacy of collections but librarians have adopted it or modifications of it as a national standard of collection requirements. Clapp never meant for it to be used as a basis for funding but many states have adopted it as a funding formula.

The 1966 Master Plan also contained the following statement among its recommendations: "The Ohio Board of Regents intends to explore the desirability of establishing a central library coordinating center to encourage

development of new library techniques and to promote inter-library co-operation,"[8] a recommendation which evolved into the Ohio College Library Center. But the idea of a centralized cooperative center pre-dated this report. OCLC was established as a cooperative cataloging center in 1967 through the initiative of librarians working through the University presidents in the Ohio College Association, with only minimal encouragement and funding by the Board of Regents.

Surveys of library resources and services conducted by coordinating boards have been effective in several states by giving visibility to the needs for library improvements. The surveyors generally assess the adequacy of collections and services, and set collection and staffing goals. An example is the 1968 survey of university and college libraries in North Carolina published and publicized widely to state officials and legislators by the North Carolina Board of Higher Education. This report, Planning for Higher Education in North Carolina,[9] pointed very dramatically to the inadequacies of the public senior institutional libraries in the state and was the justification for obtaining improvement funds from the state legislature. It was the springboard for a long-range plan for increased funding by the Board of Higher Education and later, by the University of North Carolina Board of Governors. The survey of libraries was done by Dr. Robert D. Downs, then Dean of Libraries at the University of Illinois. The adequacy of staff, physical facilities and holdings was measured and goals set for each of these areas. The Clapp-Jordan formula was used as a measure of collection adequacy.

A comprehensive survey of libraries in South Carolina was published in 1976 by the South Carolina Commission of Higher Education[10] in which the 1975 Association of College and Research Libraries (ACRL)[11] formulas for assessing

collections, staff and buildings were used for the first time in a statewide survey. The survey report contains recommendations to increase financial support in order to bring collections and staff up to national standards, and to fund programs to make university library holdings accessible to other libraries and citizens in the state through an expanded statewide network.

The Tennessee[12] and Virginia[13] councils of higher education have just recently published library development plans that have stressed more effective sharing of resources. The Tennessee Development Plan encouraged greater initiative on the part of the professional library community to find better methods for assessing the adequacy of library resources and to take greater initiative in developing a statewide network for sharing resources of all types of libraries. The Virginia Plan is discussed in detail in the chapter on "Interlibrary Cooperation" since the plan emphasizes this aspect of library development. (See pages 46-47)

The Minnesota Higher Education Coordinating Commission has for the past several years published biennial planning reports addressed directly to the Minnesota Legislature. Since 1971, the Commission has requested and received funding for the Minnesota Interlibrary Teletype Exchange (MINITEX) which is one of the most effective programs of statewide library resource sharing in existence. An integral part of Minnesota's plan for higher education, MINITEX is a system for providing access for students and faculty and citizens to the research resources at the University of Minnesota. The 1977 "Report to the Legislature" states that "in times of cost escalation, insatiable user demands, uncertain funding, and the literature information explosion, cooperative use and planning are essential to make judicious use of available funding."[14] The report estimates that about one-third of the academic faculty members

outside the University of Minnesota's Twin Cities campus have used the service to prepare their course presentations. Additional faculty have used the service for research and writing. The service has also made a greater variety of materials available for independent study by students in four-year colleges. Annual funds are appropriated: (1) to provide for staff housed in the University of Minnesota Library to operate the interlibrary service, (2) to maintain a serial data base (The Minnesota Union List of Serials: MULS), (3) to provide for regional sharing, (4) to provide for unique collection development and development of state resources as needed in the state but not owned by any library. An appropriation of $450,000 for each year of the 1978-79 biennium is requested in the 1977 report to handle 160,000 requests each year. As far as libraries are concerned, the Commission has concentrated upon statewide resource sharing and cooperative acquisitions. It has not attempted to assess adequacy of institutional libraries and develop a statewide funding program for campus libraries.

Planning for academic libraries in New York is a continuous process at all levels of administrative agencies. The University of the State of New York which is an arm of the State Education Department, the New York Board of Regents, and the Commissioner of Education sets standards and goals for all academic libraries in the state, including SUNY (State University of New York), CUNY (City University of New York) and PUNY (Private Universities of New York). Planning for libraries at the statewide level is done by committees of librarians and educators representing the university systems in the state. In 1971 the Commissioner of Education appointed the Advisory Committee on Planning for the Academic Libraries of New York State. The 29 members of the committee included librarians, faculty members and university administrators

from both public and private colleges and universities as well as representatives from the State Education Department. The report of the committee in 1973 recommended strengthened coordination and cooperative activities, through the New York Interlibrary Loan Service (NYSILL) and its 3R's (Reference and Research Resources) Program. The report also encourages the development of cooperative acquisitions among academic libraries but recognizes that "to be fully meaningful such cooperative collection policies will have to await interinstitutional rationalization of academic programs, and that may yet be some time away."[15] Until academic curricula is rationalized, cooperative acquisition programs can only be implemented to a limited degree because of the need for duplicate materials on each campus offering similar academic programs.

The report recommends separate guidelines for the assessment of the adequacy of academic libraries in New York State for two-year colleges and for four-year colleges and universities. Formulas are provided for setting requirements for the collections, staffs and physical facilities. Recommendations are provided for joint library storage of lesser used materials, facsimile transmission, shared cataloging, nonprint information services, coordinated continuing education programs for librarians, and improved instruction in library use. Among the recommendations of the report are that academic libraries in the state be monitored on a periodic basis to ensure that they meet standards set by the Department of Education.

Many of the recommendations of the 1973 Advisory Committee were incorporated into the Board of Regents 1976 Statewide Plan for Development of Postsecondary Education, including the formulas for assessing threshold adequacy of library collections, staff and facilities.[16]

Extensive planning efforts in New York State resulted in the development

of the highly integrated statewide Reference and Research Library Resources System (3R's) Program and the New York State Interlibrary Loan (NYSILL) Program, which are administered in the New York State Library. Planning for the 3R's Program began in the early 1960's. The Commissioner's Committee on Reference and Research Library Resources was appointed in March 1960 by the Commissioner of Education to survey existing reference and research library facilities in the State and to make recommendations as to how these resources, through the use of technological developments and administrative or fiscal devices, could be more effectively utilized. Composed of librarians representing the largest public and private research libraries in New York State, the Committee, in its report of 1961, stated that the rich research library resources of New York State are available to only a limited number of residents and recognized that "Their value could be multiplied several times in a unified library system."[17] Out of the recommendations of this committee emerged a statewide and regional approach to strengthen and coordinate reference and research library resources in the state. Nelson Associates, Inc., was commissioned to study statewide aspects of the program and several regions commissioned studies.[18] There are now nine regions in the state that provide regional service. In 1967 the New York State Interlibrary Loan (NYSILL) Program was initiated by the New York State Library to implement the 3R's Program by providing the research community access to research materials. As the program presently operates, the New York State Library contracts with 12 large research libraries to provide research materials. Regional authorization is required before loans will be made. The State Library receives requests which cannot be filled within a region. Over 1,000,000 interlibrary loan requests are received within the regions and currently 175,000 requests

are referred to research libraries. Automation has played a significant role in the development of NYSILL. The 1974-75 NYSILL annual report states that recordkeeping was the first aspect of NYSILL to be automated and in 1972 the referral libraries were brought on-line with the computer, and the automatic referral of requests was achieved. Now all NYSILL transmission sites transmit directly to the State Education Department's computer and receive reports from the computer as to the action taken on requests.[19]

This highly successful statewide resource sharing program is under continuous analysis and study. Statistics on the total number of requests submitted to NYSILL each quarter are received from the computer and data from the October-December period are analyzed by user groups, subject areas and types of libraries. Not only are data analyzed at the State Library level, but the effectiveness of the regional programs continue to be studied and analyzed. The latest such study, Regional Interlibrary Loan in New York State: A Comparative Study[20] was completed in March 1976 by Checchi and Company of Washington, D. C. The final report of this study contains detailed analyses of the factors affecting regional interlibrary loan as well as the extent, nature and the effectiveness of interlibrary loans in the five regions studied. Recommendations are made dealing with the State's funding of regional interlibrary loan, regional interlibrary loan processing policies and procedures, and the development of a workable methodology for the future monitoring of regional interlibrary loan activities and performance. No attempt is made here to describe in detail the operations of the 3R's Program and NYSILL, but merely to indicate the extent of the planning through the New York Education Department and the New York State Library which are arms of the New York Board of Regents in order to provide the first and perhaps

the most advanced and successful statewide system for sharing the resources of research and university libraries.

The SUNY system through its full-time Director of Libraries and his staff, is continually studying and analyzing all aspects of library operations. Data on intercampus direct borrowing programs are analyzed to determine patterns of use among the campuses. The Director of Library Services is engaged in an Office of Education-funded study of "Collection Development Analysis Using OCLC Tapes."[21] This is a project to statistically analyze by computer the current acquisitions of SUNY libraries. One of the justifications for the proposal was that knowledge of relative disciplinary strengths among separate campuses in a multi-campus system can lead to cooperative acquisitions proposals. Through this research project, a tool may be developed to assist systems of libraries in developing effective cooperative acquisitions programs. Although SUNY has not articulated a comprehensive plan for a library system as have the two California systems, systemwide planning for libraries at SUNY is extensive. SUNY has most of the elements of a library system but the planning for it has not been as integrated or as systematic as in the University of California system. The research and planning has been piecemeal rather than according to a comprehensive plan.

A fully integrated state or systemwide academic library program will probably include: a coordinated funding plan; a proposal for a joint on-line union catalog of monographs and serials; a shared automated cataloging system; a system of sharing resources, involving direct borrowing and centralized interlibrary loan operations; compatible automated circulation systems; systemwide transportation of library materials; a systemwide cooperative acquisitions program; a plan for joint storage of lesser used materials;

centralized information retrieval services; and a sizeable system staff to continually monitor and analyze various aspects of library operations. All of these elements are included in the library plans in the two California systems of higher education.

The two systems of higher education in California have been required by state budgeting authorities to expend considerable time and effort in systemwide library planning. Both systems have been plagued by declining or stabilized budgets and the devastating impact of inflation on book and periodical purchases. The master plans developed by the two systems propose integrated library plans.

The California State University and Colleges (CSUC) published a plan for Library Development, 1977/78-1981/82 in May 1976[22] which included justifications and recommendations for staffing, book periodical and non-book materials purchases, operating expenses, binding as well as space standards, policies on intra-system library lending and borrowing, automated reference services, and cooperative library development and resource sharing. A detailed plan for systemwide library automation was outlined which includes installation of campus circulation control transactors, a conversion of bibliographic records to machine-readable form, an automated shared cataloging system, a union list of periodicals, a systemwide circulation network and an acquisitions system. Funds were provided in 1977/78 to begin the implementation of the system. The entire plan is being reviewed and evaluated by consultants from A. D. Little Co. who are scheduled to give a report in January 1978.

The University of California Libraries: A Plan for Development, 1978-1988[23] was published in July 1977 by the Office of the Executive Director of Universitywide Library Planning. The position of Executive Director for

Systemwide Library Planning was established in 1975 to develop and implement a plan for a statewide library system. The publication of the master plan in 1977 was the culmination of several years of planning involving dozens of administrators at the system and campus levels, faculty members, university librarians and staff members of the campus libraries. In a recent interview, the Executive Director estimated that about 25 percent of his time was spent in planning and about 75 percent in coordination and "politics". The final document went through two revisions. The first draft of the plan was distributed in November 1975 for review within the university system. Comments were received from faculty members, students, staff members and campus and library administrators from all ten campuses. Visits were made by the Executive Director and his staff members to all campuses to discuss the recommendations of the plan and to get reactions and suggestions from as many representatives of the university community as possible. The final recommendations are based on research and study by dozens of people throughout the system.

In the 1970's enrollment growth slowed and the state (particularly the State Department of Finance) became increasingly concerned about the cost and efficiency of the libraries in the system. In a 1971 report the Department urged greater "interdependence, cooperation, and coordination," in order to reduce costs as well as improve service. A 1972 statement from state budget officials indicated that no substantial increases would be appropriated for book and periodical purchases or for library buildings until a Master Plan for libraries was developed. The 1977 Plan for Development states that the "traditional methods of library operation, in particular the attempt to build self-sufficient, autonomous collections," are no longer adequate to

cope with current library problems and calls for a new approach. What is needed, the report says, is "a coordinated Universitywide library system" with more attention to differentiating users' needs, distinguishing between materials on the basis of utility, and exploiting available technology. The report proposes "new patterns of library organization and service, and new strategies for getting the maximum utility from funds expended."[24]

The plan outlined a multi-level system, in contrast to the present concentration on the campus library. Six levels of organization for library service are proposed: Department and College, Campus, Region (North and South California), Universitywide and State, National, and International. A desired response time is proposed for each level, and mechanisms for the identification of materials as well as for organization and governance at each level are outlined.[25]

The proposed system includes a joint on-line catalog for the libraries, a shared on-line acquisitions and cataloging system, on-line circulation systems, and the storage of lesser used material in two regional depository libraries.

The report emphasizes that "adequate acquisition rates must...be maintained or performance of the entire system is endangered."[26] A funding plan for acquisition of materials is proposed based on a formula developed by Susskind and Voigt. The formula was developed specifically for libraries in universities that offer a large number of doctoral and research programs. The report points out that present funds available for purchase of library materials are approximately 14 percent below what is needed to maintain "an adequate response at each level." A sizeable increase in the number of budgeted volumes is recommended--from 523,000 volumes per year to 609,000 volumes per year. The annual requirement for volumes is based on the Voigt formula.[27]

With respect to staffing for the system, the recommendation is made that "continued study be given to the development of an allocation formula to assure equitable distribution of staff in all categories among the campuses." No overall increase in staff is recommended until the effects of automated cataloging and acquisitions on staff needs are studied. The report indicates that it may be possible to reallocate staff from technical service functions to public service functions provided sufficient savings are realized from automated procedures.[28]

A fully integrated statewide academic library system does not exist but the UC library development plan provides the most comprehensive plan for such a system as yet published. The advantages of the system are listed as follows:

"1. Through the use of technology already available, a much greater percentage of the library material available in the University collections can be identified and located.

2. Improved delivery systems will be available to provide materials within the time frame needed and with a higher degree of reliability than at present.

3. The resources made available through the combination of these two techniques will be much greater and much richer than any single campus system can provide.

4. The use of technology in cataloging and processing will provide for coordination of acquisitions, faster and more economical handling of materials, and the construction of a systemwide data base of bibliographic information.

5. Regional facilities will provide housing of little-used materials in a more cost-effective way than continued reliance solely on campus construction, and should help deliver such materials throughout each region more efficiently.

6. Coordination of systemwide library activities will provide the optimum library service within the limit of available funds."[29]

The UC Plan has been accepted by the President of the University of California and the libraries of the system; funds are being requested in 1978 to begin its implementation. In the meantime, a large number of studies of systemwide library operations continues on a permanent basis at the system level.

Major Conclusions on Statewide Planning of Academic Libraries

1. An increasing number of states include libraries in statewide plans for higher education.
2. Major deterrents to the development and implementation of statewide academic library plans are institutional jealousies, fears of losing institutional autonomy and the reluctance of state agencies to impose central coordination of campus libraries.
3. Most of the state agencies of higher education do not have the mechanisms or the staff to carry out effective planning for efficient coordination and use of academic library resources and services.
4. Effective statewide coordination of library resources requires authority at the system level to monitor institutional library actions and to implement statewide plans.
5. The incentives for developing comprehensive library systems are economic; few states will make effective plans for statewide coordination of libraries unless required to do so by economic and budgetary restraints.
6. Comprehensive surveys of library resources on a statewide level give visibility to library needs and provide the incentives for increased support and increased cooperation.
7. Cooperative acquisitions programs are ineffective unless the state rationalizes interinstitutional academic programs and minimizes

duplication of courses and curricula among campuses.

8. The most efficient use of technology will require a statewide approach to library planning and development.

9. Campus librarians have been reluctant to take the lead and accept fully statewide library systems but they have readily accepted networks such as OCLC that are not under governmental or state control.

10. There is a trend toward statewide systems of academic libraries with coordinated funding, planning and cooperative programs, particularly among the states with the largest numbers of institutions. This trend is growing because of declining budgets, rising costs and space shortages.

11. Budgeting authorities are more willing to provide increased library funding and additional library buildings if a statewide academic library development plan has been articulated and approved.

Notes

[1]North Carolina. University. Board of Governors. Long Range Planning, 1976-81. April 2, 1976.

[2]Ohio. Board of Regents. Master Plan for State Policy in Higher Education. June 1966; ---Ohio Master Plan for Public Policy in Higher Education, 1971, March 1971; ---Master Plan for Higher Education, 1976.

[3]South Carolina Commission on Higher Education. Resources of South Carolina Libraries, Columbia, 1976.

[4]Alabama. Commission on Higher Education. Council of Librarians. Report of a Survey of the Status of Libraries in Alabama Institutions of Higher Education. 1972.

[5]California. University. Office of the Executive Director of University-wide Library Planning. The University of California Libraries: A Plan for Development, 1978-1988, Berkeley, July 1977.

[6]Ohio. Board of Regents. Master Plan for State Policy in Higher Education. June 1966, pp. 113-116.

[7]The Clapp-Jordan formula was first reported in an earlier report: Verner W. Clapp and Robert T. Jordan, The Libraries of the State-Assisted Institutions of Higher Education in Ohio--Their Maintenance and Development--Guidelines for Policy. Washington, D. C., Council on Library Resources, 1964. It was published in a journal article in 1965: Verner W. Clapp and Robert T. Jordan, "Quantitative Criteria for Adequacy of Academic Library Collections," College and Research Libraries, v. 26 (Sept. 1965), pp. 371-80.

[8]Ohio. Board of Regents. Master Plan for State Policy in Higher Education, June 1966, p. 10.

[9]North Carolina. Board of Higher Education. Planning for Higher Education in North Carolina (Special Report 2-68), November 1968. Chapter VIII, "Libraries," pp. 147-173.

[10]South Carolina. Commission on Higher Education. op. cit.

[11]"Standards for College Libraries," College and Research Libraries News, No. 9, October 1975, pp. 277-279, 290-301.

[12]Tennessee. Higher Education Commission. Planning for Improved Library Services in Tennessee Higher Education: An Analysis and Recommendations (Preliminary), Nashville, October 1976.

[13]Virginia. State Council of Higher Education. Virginia Plan for Library Cooperation. Richmond, August 17, 1976.

[14]Minnesota. Higher Education Coordinating Board. Report to the 1977 Minnesota Legislature, January 1977, p. 111.

[15]New York. The University of the State of New York. The State Education Department. Report of the Advisory Committee on Planning for the Academic Libraries of New York State, 1973, p. 6.

[16]New York. The University of the State of New York. The State Education Department. The Bulletin of the Regents: 1976 Statewide Plan for the Development of Postsecondary Education. June 1975.

[17]New York. The University of the State of New York. The State Department of Education. State Library. Report of the Commissioner's Committee on Reference and Research Library Resources, December 1961 (Reprinted 1969).

[18]Nelson Associates, Inc. Strengthening and Coordinating Reference and Research Library Resources in New York State, (Prepared for New York State Education Department), 1963.

[19]New York. State Library. The New York State Interlibrary Loan Program: NYSILL 1974-75 Annual Report (By Jane G. Rollins, Associate in Library Development, coordinator of Statewide NYSILL Program).

[20]Checchi and Company. Regional Interlibrary Loan in New York State: A Comparative Study (A Report prepared for the Division of Library Development of the New York State Library), Washington, D. C., March 1976 (This report is submitted solely for the information and benefit of the client to whom it is addressed.)

[21]Glyn Evans, "Collection Development Analysis Using OCLC Archival Tapes." (A grant request submitted by Glyn T. Evans, Principal Investigator, Director of Library Services, State University of New York, Central Administration, Albany, New York, December 31, 1975.)

[22]California. State University and Colleges. Library Development, 1977/78-1981/82. May 1976.

[23]California. University. Office of the Executive Director of Universitywide Library Planning. op. cit. (See note #5)

[24]Ibid., pp. 193-4.

[25]Ibid., pp. 45-56.

[26]Ibid., p. 113.

[27]Ibid., Chapter on "Acquisition and Processing of Materials," pp. 113-135.

[28]Ibid., "Staffing the Library System," pp. 137-145.

[29]Ibid., pp. 199-200.

IV. Advisory Committees of Librarians

Communications between the staff of boards of higher education and librarians are extremely important, particularly in states in which the boards play a role in library funding and planning. This is done in most states through advisory committees of librarians on either a continuing or an ad hoc basis. Ad hoc committees may be appointed to advise on a specific matter, such as a budget formula or a binding contract. The funding formula for public academic libraries in Texas is developed each year by an ad hoc committee composed of librarians, campus budget officers and administrators. Committees of librarians are sometimes appointed to carry out statewide surveys of library resources and services.

The most satisfactory relationship is through one or more committees that meet regularly with staff members of the boards. Virginia, Florida, Iowa, North Carolina, SUNY, Georgia, and the two California multi-campus universities are among the systems that have official and continuing advisory boards. These library planning boards advise on various aspects of library operations including funding, cooperative programs, building programs and personnel policies. The head librarians on each campus in the system generally make up a committee that meets with the staff of the board. However, librarians from the staffs of campus libraries are frequently appointed to task forces to study special problems and recommend action to be taken.

The University of California System has established a number of committees and task forces in its planning and coordination efforts. The Library Council consists of the nine university Librarians, the Executive Director for Systemwide Library Planning, the Chairman of the Library Policy Steering Committee, the President of the Librarian Association of UC, and the Deans of the graduate library schools at UCLA and UC Berkeley.[1] The Library Council

serves as a forum for the exchange of ideas about library policies and discusses plans for systemwide cooperative programs. Recommendations from the Library Council go to a Systemwide Library Policy Steering Committee.

The Library Policy Steering Committee consists of a chancellor, several vice-chancellors, deans, faculty members, and the chairperson of the Library Council (a librarian).[2] The Steering Committee was formed to translate a systemwide library development plan into specific program objectives, plan a program to implement these objectives, and monitor the implementation of the program. If the Library Council (campus head librarians) cannot agree on policies or programs, the Steering Committee must make the necessary decisions. The Steering Committee and the Library Council meet regularly and are involved in any planning for the library system.

Nine task forces have been appointed by the Library Council to work under the direction of the Executive Director. The function of each task force is to study and make recommendations about specific areas of systemwide concern. Task forces have been appointed to study the Union Catalog and Bibliographic Data Base, Costs of Library Materials, User Satisfaction, Staffing Formulas, Preservation of Library Materials, Unprocessed Material, Shared Cataloging, and Personnel Rotation. The Task Forces have been given specific charges which are outlined in Linda Beaupre's description of Cooperative Activities of the University of California Libraries.[3]

One of the chief tasks of the UC Executive Director of Universitywide Library Planning is to keep lines of communication open among the many interlocking committees and task forces of the system. A large part of his time is spent conferring with librarians, administrators and faculty members about library policies and systemwide plans.

The Library Advisory Committee of the State Council of Higher Education for Virginia has been active in advising on funding and developing plans for increasing statewide interlibrary cooperation. In addition to representatives from each state-supported academic library, the Virginia Committee includes the State Librarian and four representatives from private institutions of higher education, agencies or organizations.[4] The presence of these important representatives of the library community on the committee facilitates co-operation on a statewide level. It is important to include major private university libraries and the State Library in any planning for sharing of resources, joint storage projects, interlibrary loan services and cooperative acquisitions, but political considerations sometimes prevent representatives outside the public university system from being invited to join official advisory committees.

In some states, however, the lines of communication between state officials and campus librarians are not open; the formation of official committees is discouraged and even prohibited by either the Boards or the institutions. This is more prevalent in certain areas of the country where institutions are fearful that institutional autonomy will be compromised. In many of these states volunteer committees of librarians have been established for the purpose of developing statewide cooperative projects. Some of the most outstanding cooperative projects have been developed in states in which librarians have taken the leadership without systemwide financial backing. OCLC grew out of the efforts of Ohio librarians with little assistance from the Ohio Board of Regents. Another example is the Wisconsin Interlibrary Service (WILS) which was initiated by librarians with little or no assistance from the University of Wisconsin system.

Major Conclusions Regarding Advisory Committees of Librarians

1. Communication between the staffs of boards of higher education and librarians in the system are important in the development of statewide coordination and sharing of resources and can best be accomplished through continuing advisory committees of librarians.
2. Librarians need to advise on statewide funding for libraries, the development of programs for resource sharing, cooperative acquisitions, personnel policies, building needs and improvement of services.
3. A highly coordinated statewide academic library system requires constant communication between the staff of the system and librarians and may require a systemwide policy steering committee as well as a large number of task forces to study specific areas of systemwide concern.
4. Volunteer committees of academic librarians have been formed in many states in which there is no central coordination from the state board of higher education.

Notes

[1]Linda Beaupré, Cooperative Activities of the University of California Libraries, p. 38.

[2]Ibid., p. 36.

[3]Ibid., pp. 38-39.

[4]Virginia. State Council of Higher Education. "Policies and Procedures of the State Council of Higher Education for Virginia for Professional Advisory Committees and the Library Advisory Committee." (Multilithed)

V. Interlibrary Cooperation

Many state systems of higher education encourage statewide interlibrary cooperative projects in order to effectively share library resources. If an official Advisory Committee of Librarians exists, it takes the lead in developing interlibrary cooperation projects but, in several states in which advisory committees are not recognized, voluntary committees have developed outstanding cooperative efforts.

Academic libraries in all states participate in interlibrary lending and borrowing services for faculty members and graduate students, but public institutions in at least 16 states have extended interlibrary loans to undergraduate students enrolled in colleges and universities within the system.

Two significant systemwide interlibrary loan projects that are responsibilities of agencies of higher education are the Minnesota Interlibrary Telecommunication Exchange (MINITEX) and the New York State Interlibrary Loan Service (NYSILL) and its 3R's (Reference and Research Resources) Program. MINITEX and NYSILL are highly sophisticated interlibrary loan services funded separately by state funds to provide improved and custom-designed interlibrary loan service for the libraries of each state.

NYSILL is the statewide program of New York's Reference and Research Library Resources Program (3R's) that has provided access to research library resources in the State since 1967. The NYSILL network is comprised of 12 major resource libraries which serve as referral libraries, nine of which are private university and research libraries and three, public libraries. The resource libraries have subject responsibility. Interlibrary loans proceed in a hierarchial pattern from one of nine regions in the state, to the New York State Library, to the network of 12 resource libraries. In 1974-75,

the statewide NYSILL volume totaled 170,047 requests.[1] Over 1,000,000 interlibrary requests are handled in the regions. The system is highly automated with a data phone, teletype and computer network lines to libraries across the state. The operations of the system are analyzed annually and have been described and evaluated in a number of studies.[2] Some librarians complain about the time that it takes to go through the hierarchy to obtain an item on interlibrary loan. (SUNY libraries cannot go directly to a resource library for an item but must request items through the regional system.) Overall, however, the system has a high success rate and the NYSILL 1974-75 Annual Report states that "This hierarchial approach provides for greater utilization of regional resources, improves local and regional library service, and ensures that requests for more advanced materials are referred to NYSILL."[3] (See pages 23-26 for other details.)

MINITEX, which is housed in the University of Minnesota Library, is also a statewide interlibrary loan system similar to NYSILL. Its primary purpose is to make the best possible use of the library resources at the University of Minnesota. The Minnesota Commission of Higher Education has requested funds since 1971 to support this important resource sharing program which includes not only a special staff dedicated to MINITEX, but also funds for maintaining and up-dating the Minnesota Union List of Serials (MULS), a cooperative acquisition program, and a continuing education program for librarians. A similar service, the Wisconsin Interlibrary Loan Service (WILS), has been established in the University of Wisconsin Library at Madison to facilitate statewide sharing of the library resources on the Madison campus. The difference between the two is that MINITEX has been supported by state appropriations whereas WILS was established without the assistance or financial

support of the University of Wisconsin System or legislature. WILS was initiated by the Council of Wisconsin Librarians, Inc. (COWL)* through contributions from library budgets based on a formula.[4] The two services (MINITEX and WILS) have a reciprocal agreement to transfer requests from one to the other. The Reference and Interlibrary Loan Service (RAILS) housed in the Ohio State University Library, a similar service for Ohio, was also established through the initiative of librarians without the support of the Ohio Board of Regents.

Many of the state systems of higher education have initiated direct lending to students and faculty members in the university system by any library in the system. Some of the systems extend this service only to faculty members and graduate students while others have included undergraduates in the direct lending program. Methods of identifying eligible borrowers vary from state to state, but in some states a valid I.D. card from another state university is accepted as proof of eligibility. SUNY's "Open Access" is such a program. An "Open Access Manual and Directory" which provides regulations pertaining to the program and a list of libraries as well as promotional posters advertising the program are made available. Statistics on patterns of intercampus use by L. C. classification are analyzed to determine collection weaknesses and strengths of SUNY libraries.

The basis of any effective resource sharing program is access to information about holdings among participating libraries. Union lists of serials are the most common access lists. The University of California System, the California State University and Colleges, the Minnesota Commission of Higher Education, the Virginia Coordinating Council of Higher Education, SUNY,

*COWL is an organization of librarians from various types of libraries in Wisconsin whose purpose is to coordinate library activities, especially with respect to cooperative activities.

Florida and Georgia are among the states and systems that publish union lists of serials. Separate union lists of monographs are not as common as serials lists. The North Carolina Union Catalog on microfilm is one of the few such lists that include retrospective holdings. Although encouraged by the state board of higher education in North Carolina, it was financed through the North Carolina State Library with LCSA (Title III) funds. It includes the holdings of academic libraries as well as major public libraries. The two California systems have included in their development plans joint on-line computerized public catalogs and the conversion of retrospective records of holdings to machine-readable form. This method of access is the wave of the future and will be a valuable tool for coordinating cooperative acquisitions and resource sharing on a statewide basis.

Several state higher education systems have encouraged libraries to participate in computerized shared cataloging networks such as OCLC or BALLOTS and some have provided direct funding for network participation. The Florida Board of Regents provided funds for all public senior institutions in Florida to participate in OCLC. Both the California systems of higher education have studies underway to decide which network (OCLC or BALLOTS) the systems will join. Both networks are being used in different libraries in the California systems and committees in both the California systems are studying the advantages and disadvantages of each network. For the most effective sharing of resources, it is important that all libraries in a state system participate in the same network.

Cooperative acquisitions programs have been much discussed, but few states have implemented successful programs. Some states provide incentives for libraries to implement cooperative acquisitions projects by providing separate funds specifically for joint purchases. The University of California

has earmarked a sum of $99,000 (1% of the total book fund allocation to UC libraries) for the purchase of materials which, because of their high cost or anticipated low level of use, should be shared rather than duplicated among the campuses. Guidelines for the use of the money have been developed by the UC Library Council and the program is administered by the Executive Director of Universitywide Library Planning.[5] As indicated elsewhere, the Minnesota Coordinating Council has also received funds from the legislature for joint purchases.

There are agreements among the University of California libraries to collect in certain disciplines and collection development officers of all UC libraries meet regularly to discuss and coordinate universitywide collection building. Ms. Beaupré describes several specific cooperative acquisitions agreements among the UC libraries which, in a few instances, have resulted in an actual transfer of materials from one library to another.[6]

Cooperative purchasing is more successful if special arrangements are made to encourage greater intercampus use of all materials in the system. Two noteworthy programs of the University of California encourage intercampus use. The UC Intercampus Exchange Program provides funds for most, but not all, expenses connected with photocopying done by one UC campus for another through the interlibrary loan process. Under this program, faculty and students on all campuses can obtain free photocopies of material not available on their own campus. Linda Beaupré reports that over 20,000 photocopies were obtained through this program in 1975/76.[7] Ms. Beaupré also describes the intercampus bus system which operates among the northern and southern campuses. She says, "There is a daily bus service from Riverside, Irvine, San Diego, and Santa Barbara to the Los Angeles campus, and from Santa Cruz and Davis to Berkeley,

and from Berkeley to Davis. There is also a jitney service between San Francisco and Berkeley. The buses transport library users..., interlibrary loan requests and library materials."[8]

The libraries in the UC system cooperate in providing the most effective reference service across campus lines. The Computerized Information Services (CIS), a unit of the Office of Universitywide Library Planning of the University of California System provides a variety of on-line and off-line computerized services. Located in the library of UCLA, the service provides bibliographies of current literature for users at all of the UC campuses. These bibliographies are annotated to show UC locations for the major journals cited. CIS also provides training in the use of data bases and acts as a broker for the UC campuses in dealing with data base vendors. Ms. Beaupre says, "The Universitywide coordination and services provided by CIS reduces costs to the individual campuses and facilitates the introduction and continuing use of computerized search services."[9]

The need for additional space for academic libraries has become acute in many states, despite the fact that the United States saw from 1967 to 1971 "the greatest flowering of academic library building experience this country has ever known or is likely to see."[10] It has been estimated that from 1967 to 1974 space was added for 163 million volumes, but the aggregate growth during this period was 166 million volumes--three million more than could be housed. In a period of austerity when funds for additional buildings are not readily available, some of the boards and systems of higher education, through library advisory committees, are giving serious thought to solutions to the academic library space problem. One of the solutions being discussed rather widely is joint storage of lesser used material in a statewide central

depository. Although several states are talking about cooperative storage none indicated that such a cooperative storage facility was actually being used. Of all the cooperative projects that librarians have attempted, joint storage of materials appears to be the most controversial. A major deterrent in its implementation is faculty and campus librarians' resistance to the idea. The Executive Director of Systemwide Library Planning in the University of California System found that the proposal for remote storage was the most controversial of all of the projects proposed in the UC Libraries Development Plan, particularly among faculty members on the various campuses. This opposition came in spite of the fact that library space is acute on several UC campuses. At UC Berkeley where library space has been filled to capacity since 1968, an off-campus storage facility is being used. Today the UC Berkeley storage facility houses approximately one million volumes.[11] Since 1967 a general policy has been in effect at Berkeley to send one volume to storage for each volume that is added to the collection. The authorization for new space at Berkeley and on all UC campuses has been awaiting a Library Development Plan for the system and its approval. A new library building for Berkeley is recommended in the plan.[12]

The UC Library Development Plan contains a thorough analysis of the costs and advantages of alternatives that have been proposed as solutions to the library space problem.[13] The Plan contains a recommendation that two regional compact shelving facilities be constructed, one in Northern California and one in Southern California. Other recommendations include: the elimination of duplicates in the storage facilities and subscriptions to microfilm editions of current serials by campus libraries when they are available. "The microfilm subscription should be in addition to the full-size copies, and should

be retained in lieu of binding the originals."[14] The total cost of the combination of alternatives from 1977/78 - 1987/88 is approximately $53,400,000 as compared to the "base cost" (without space-saving alternatives) of $89,430,000, a net savings of $36,079,000.[15] Detailed studies of the use of materials and space utilization are being carried out on a continuing basis by the Office of the Executive Director of Universitywide Library Planning.

The Virginia Library Advisory Committee published a "Virginia Plan for Academic Library Cooperation" which was approved by the Virginia Council in 1977.[16] The Committee identified four areas offering potential for increased cooperation: the coordinated development of library resources, serials service, interlibrary loan service, and the housing of infrequently used research materials.

The Task Force on the Development of Library Resources compiled and published a Directory of Virginia Library Resources which has identified extensive, unusual, or unique collections in the Commonwealth's libraries. The Task Force recognizes the potential of SOLINET (Southeastern Library Network) in creating an automated Union Catalog of holdings and its potential in developing a cooperative acquisitions program. In order to develop such a program a statewide collection development policy is to be formulated.

The Task Force on Serials Service recommended a plan for dividing up subject responsibility among libraries for serial subscriptions and to acquire at least one copy, somewhere within the state, of every serial currently included in the standard periodical indexing and abstracting services. This recommendation was based on a survey of interlibrary loan requests which showed that almost half of the interlibrary serial requests could not be located within the state. It was also recommended that institutions accept

responsibility for maintaining journal files in subject areas to avoid undue duplication of serial holdings among institutions.

In order to speed up interlibrary loans, the Task Force on Interlibrary Loan Service recommended a centralized referral center for interlibrary loans be established in the Virginia State Library with an advisory board to co-ordinate participation in the system. This has been accomplished. A "Manual of Interlibrary Loan Policies of Virginia Libraries" which provides basic interlibrary loan policies, addresses and telephone numbers of almost 200 academic, public and special libraries in Virginia was compiled and published.

The Task Force on Off-Site Storage of Materials recommended that planning for a central storage facility for lesser used material begin immediately. Crucial questions regarding such a facility were raised.

In many states, academic cooperative programs are integrated with State Library networks in efforts to make library resources available to all citizens. Generally the academic libraries serve as back-up libraries for research materials. State Libraries, by the use of LCSA (Title III) funds have funded union catalog projects, telecommunications networks and funding for staff located in academic libraries for handling requests from public libraries. Interlibrary Cooperation: A Wisconsin Plan, published in 1977 by the Wisconsin Department of Public Instruction, Division for Library Services, proposes a statewide network for the sharing of resources of all types of libraries in Wisconsin.[17] This statewide plan for the cooperation of all types of libraries in Wisconsin is the work of a Task Force that included representatives of all segments of the library community. The Task Force included not only university librarians but a representative from the University of Wisconsin Central Administration.

An effective statewide academic library system must be based upon a plan for cooperation among the libraries in the system. The highly integrated library development plans of the two California academic library systems may serve as models for other state systems. The UC library development plan for 1977/78 - 1987/88 is perhaps the best articulated and the most comprehensive plan for cooperation and systemwide development of any state plan yet developed.

One of the concomitants of a statewide coordinated system of public academic libraries is increased sharing of resources through interlibrary loan, direct lending, cooperative acquisition programs, the joint storage of materials, and improved access to holdings through union catalogs and joint on-line computerized catalogs. It is generally conceded that interlibrary cooperation does not constitute the total solution to the budgetary and space problems of libraries, but programs that are highly integrated on a statewide basis as described in the University of California Plan for Development and as practiced in Minnesota and New York should provide a greater percentage of savings than the more informal interlibrary loan programs prevalent in most libraries. There are no statistics to prove the above statement but comparative studies of the effectiveness of varying interlibrary cooperative patterns among the states would be useful.

Notes

[1]New York. University of the State of New York. State Education Department. New York State Library. "The New York State Interlibrary Loan Program: NYSILL 1974-75 Annual Report," in The Bookmark, Spring/Summer, 1976.

[2]E. J. Josey. "Systems Development for Reference and Research Library Service in New York State: The 3R's," British Columbia Library Quarterly, v. 31 (April 1968), pp. 3-21; Emerging Library Systems: The 1963-66 Evaluation of the New York State Public Library System. Albany, The University of the

State of New York, the State Education Department, Division of Evaluation, 1967; E. J. Josey, "The 3R's: Reference and Research Library Resources," Stechert Hafner Book News, v. 21, no. 7 (March 1967); An Evaluation of the New York State Library's NYSILL Pilot Program. New York, Nelson Associates, Inc., 1968; Annual reports of NYSILL by Jane G. Rollins for 1970-71, 1971-72, 1972-73, 1973-74, 1974-75 in The Bookmark, Albany, The University of the State of New York, The State Education Department, The New York State Library.

[3]Jane G. Rollins, "The New York State Interlibrary Loan Program: NYSILL 1974-75 Annual Report," The Bookmark, Spring/Summer 1976, p. 28.

[4]For an excellent history and description see: Alice E. Wilcox and Nancy H. Marshall, "MINITEX and WILS: Responses to Access Needs," RQ, Summer 1974, pp. 299-307.

[5]Linda Beaupré, Cooperative Activities of the University of California Libraries, Berkeley, Office of the Executive Director of Universitywide Library Planning, University of California, December 1976, pp. 29-30.

[6]Ibid., pp. 23-30.

[7]Ibid., p. 15.

[8]Ibid., p. 17.

[9]Ibid., p. 22.

[10]Jerrold Orne, "The Renaissance of Academic Library Building," Library Journal, v. 96 (December 1, 1971), p. 3947.

[11]California. University. Office of the Executive Director of University-wide Library Planning. The University of California Libraries: A Plan for Development, 1978-1988, Berkeley, July 1977, p. 149.

[12]Ibid., p. 182.

[13]Ibid., Chapter X, "Housing," pp. 147-185.

[14]Ibid., p. 199.

[15]Ibid., p. 181.

[16]Virginia. State Council of Higher Education. Virginia Plan for Academic Library Cooperation. Richmond, 1977.

[17]Wisconsin. Department of Public Instruction. Division of Library Services. Interlibrary Cooperation: A Wisconsin Plan (A Report of the Task Force on Interlibrary Cooperation and Resource Sharing). Madison, 1976 (Bulletin no. 7069).

VI. Funding of Public Senior Academic Libraries

Funding for public university and college libraries may be categorized in three ways: (1) traditional: budgeting to the institution by object line based on the institutional request, (2) lump sum budgeting to the institution, and (3) appropriations specified for library use based on a statewide library funding plan or formula. There has been a trend toward statewide coordinated budgeting for academic libraries over the past two decades, but the majority of states still use traditional budgeting methods for libraries and only a handful of the states provide restricted funds for campus libraries.

Traditional Budgeting. In over half of the states no statewide guidelines of formulas for library budgeting are used. Each institution must justify its own request by line item, and state budget authorities, governors and legislatures make decisions on appropriations for each institution separately. The political clout of the institution is usually an important factor in obtaining adequate library funding in these institutions. The library must compete with the many other needs of the campus. In the final showdown, adequate funding for the library is dependent upon the priorities given to the library needs by campus administrators and their skill in convincing budgeting authorities of the need for the funds requested. The libraries in this group of inscitutions share especially the economic fortunes and misfortunes of the institution.

Lump Sum Budgeting. Another large number of states provide lump sum funding to institutions based on formulas for categories of cost. Library costs are usually included in the category "Academic support." The staff of the board of higher education, on the basis of formulas, develops an "asking budget" for the system. The institutional budget is provided a lump sum

budget and the institution has complete autonomy in deciding how the appropriation is to be allocated. Here the librarian must make the best case possible to the campus administration to get an adequate budget for the library. This method is used in states with both governing and coordinating boards.

The practical benefits in the use of formulas in lump sum budgeting may be summarized as follows: simplicity of implementation, equitable treatment of institutions by using uniform standards, and institutional flexibility if formulas are used to develop asking budgets and not spending budgets. States that use lump sum budgeting based on formulas are Alabama, Alaska, Arkansas, Georgia, Ohio, South Carolina, Tennessee, Virginia and Washington. The formulas used for generating the library portion varies from state to state, but in each of the states using this system, campus libraries may obtain more or less than the amount generated by the formulas used.

The campus library fares well under this system if campus administrators give high priority to the needs of the library but it fares poorly if the administration does not understand the importance of strong information and library services.

There appears to be a movement toward the use of Planning, Programming, Budgeting Systems (PPBS) in some of the states that utilize lump sum budgeting. PPBS has been explained by Ann Prentice as follows: "the first steps in (PPBS) budget development are a statement of the objectives of the library and the identification of programs and sub-programs which will achieve those objectives. The cost of each program is analyzed according to criteria of cost benefit, and the program activity that provides the greatest benefit at least cost is selected." PPBS includes a plan for feedback and evaluation which "enables

the administrator to determine to what extent program objectives are being achieved and at what cost. It is a form of management by objective applied to the budgeting process."[1]

Allen summarized the concepts, theory and evolution of PPBS,[2] and concluded that it is difficult to apply PPBS budgeting systems to academic libraries. His survey found that academic librarians generally have a negative and pessimistic attitude toward the practical usefulness of PPBS for libraries.

Restricted Library Budgeting. In a few states (and these are definitely in the minority) boards allocate funds specifically for the improvement of institutional libraries and we have some dramatic examples of significant increases in library funding when the Boards have done this. These state systems use formulas as vehicles for an equitable distribution of available funds and also to provide a more rational approach to the improvement of libraries. Again, this approach offers the advantage of simplicity and equity among institutions; from the library's point of view, it is desirable because an institution's administration cannot divert funds needed by the library to other purposes as has been done in some states with lump sum institutional budgeting The libraries in states with direct funding from the agencies of higher education have generally fared well. A notable example is North Carolina where the Board of Governors has given high priority to library development and developed a plan for improving libraries over a four year period. Texas also provides restricted funds for campus libraries.

Library Formula Budgeting. Library funding formulas are used both in institutional lump sum budgeting and in restricted library budgeting. They are used to generate total amounts of library funding and also to divide available funds among libraries. According to a recent report by the Council

for Postsecondary Education of the state of Washington, 23 states now use formulas for the institutional budget area of libraries.[3]

Arthur McAnally provided information on formulas being used in 1963 and noted that state agencies were becoming increasingly involved in systematic budgeting for libraries of public universities.[4] In 1972 Kenneth Allen compared the major formulas being used at that time.[5] Both the McAnally and Allen studies are significant contributions, but formulas are revised to meet new demands and needs. As Lyman Glenny, Director of the Center for Research and Development in Higher Education, has said: "Experience has shown that formulas must be constantly re-evaluated to keep them timely and equitable and to reflect as accurately as possible the changing assumptions which serve as their basis."[6] It is not surprising then, that since Allen's study of 1972, important new formulas have appeared on the horizon and old ones have been modified or abandoned.

Librarians and faculty are questioning formulas that are based solely on enrollment and numbers of programs and are looking for more satisfactory approaches to library funding. A recent study by the Faculty Senate Library Committee of SUNY states that it is especially critical to reexamine library allocation practices "at a time when enrollments are stabilizing, particularly if collection growth is tied to student FTE growth."[7] The Committee recognizes that demands on a library collection depend upon a number of factors other than students, faculty and programs which are the elements on which the many formulas are based. Some of the additional factors are: the differential costs and publication rates among disciplines; the purpose of the collection, i.e., whether it is for teaching, research, or for basic use; and the level and variety of academic programs. Operational factors that are important are:

user population, the size and adequacy of existing holdings, the extent to which holdings are dispersed in branch libraries which determines the degree of duplication necessary, the accessibility to other libraries, the loss and physical deterioration of materials, and the spiraling costs of books and periodicals.[8]

Another authority has concluded that, in view of the shortcomings of the Clapp-Jordan-type formulas, that "considerable additional research be undertaken to determine precisely which factors, and the respective weight of each, affect book needs in particular academic situations."[9]

Librarians of research university libraries are concerned about formulas that are applied uniformly across the board to both colleges without graduate and research programs and to research universities. Most of the funding formulas do not take into account the special requirements of research universities. There is a search for some better method for funding research university libraries.

Major formulas which are being used currently (1977) are: a percentage of the institutional budget, Clapp-Jordan formula, Washington State formula system, Texas formula, North Carolina formula program, California State University and Colleges funding program, Voigt formula and Virginia formulas. Each of these will be discussed below.

A percentage of the instructional, and/or research and extension budget. This is one of the first methods used to generate institutional library budgets on a systemwide basis and several states still use this approach. In Georgia, 9% of the instructional, research and extension budgeting is used as a basis for library support in the asking budget for the system but institutions may allocate as much or as little to the library. South Carolina uses 10% of the

total instructional cost for the library portion of the asking budget. This method is generally used to arrive at an asking budget and is included in a lump sum for the institution. Libraries do not usually receive the full percentage from the institutions. McAnally points out that the percentage method is an arbitrary method for dividing up available funds and is not based on library needs, nor does it allow for institutional variations in programs and other variables that affect library needs.[10]

The Clapp-Jordan formula, devised in the mid-1960's by Verner Clapp, was intended as a quantitative measure of the adequacy of library holdings. It was initially used in a survey of the libraries of public senior colleges and universities in Ohio[11] and later published in an article that appeared in College and Research Libraries.[12] For the first time, an attempt was made to include in a formula, some of the program and enrollment factors that are known to affect adequacy of holdings. The variables in the Clapp-Jordan formula are: an "opening day" basic collection, the number of faculty, the number of students, the number of undergraduate major subject fields, the number of masters fields, and the number of Ph.D. fields. Clapp and Jordan justified the number of volumes required for each variable on the basis of basic lists, specialized subject bibliographies, and on professional experience and judgment. The authors point out that the formula is intended to measure only minimal adequacy. It was never intended to be used as a budgeting formula. A number of surveyors have adopted the formula to assess adequacy of library resources and some state agencies have used it as a funding formula for acquisitions.

Washington State formula. The Council for Postsecondary Education of the state of Washington has used a comprehensive system of formulas for

library funding since 1969. There are two major elements in the system: a formula for library resources and one for library operations (staffing and binding).

A modification of the Clapp-Jordan formula is used as a basis for recommending the acquisitions budget whereas the staffing formula is an adaptation of a formula that was devised but never used for the University of California libraries. The Washington State formulas were published in 1970.[13] Since then a number of states have adopted them or modifications of them. Florida has used a modification of the system.[14] Perhaps the most notable adoption of the formulas was by the Association of College and Research Libraries as a national standard for assessing the adequacy of holdings and staff of college libraries. The 1975 ACRL standards use formulas that are almost identical to the 1970 Washington State formulas for holdings and staff.

In 1975 a library formula task force in the state of Washington recommended a modification of the 1970 formula system and added a number of elements which increased its complexity almost to the point of impracticability. A comparison of the Clapp-Jordan and the 1970 and 1976 basic four-year Washington State formulas for library resources are given below.

Table I[16]

VOLUME ENTITLEMENT

	Clapp-Jordan	Wash. 1970	Wash. 1976
Basic or "opening day" collections	50,750	85,000	90,000
Per FTE faculty	100	100	100
Per FTE student	12	15	15
Honors undergraduate	12	0	0
Undergraduate major in subject field	335	0	0
Per masters field (terminal)	3,050	6,100	6,000
Per masters field (with Ph.D.)	0	3,050	3,000
Ph.D. field	24,000	24,500	25,000
Allowance per $15 million for organized research	0	0	1,000

The major addition to the 1976 Washington State library resources formula is an allowance of 1,000 volumes for each 15 million dollars for organized research.

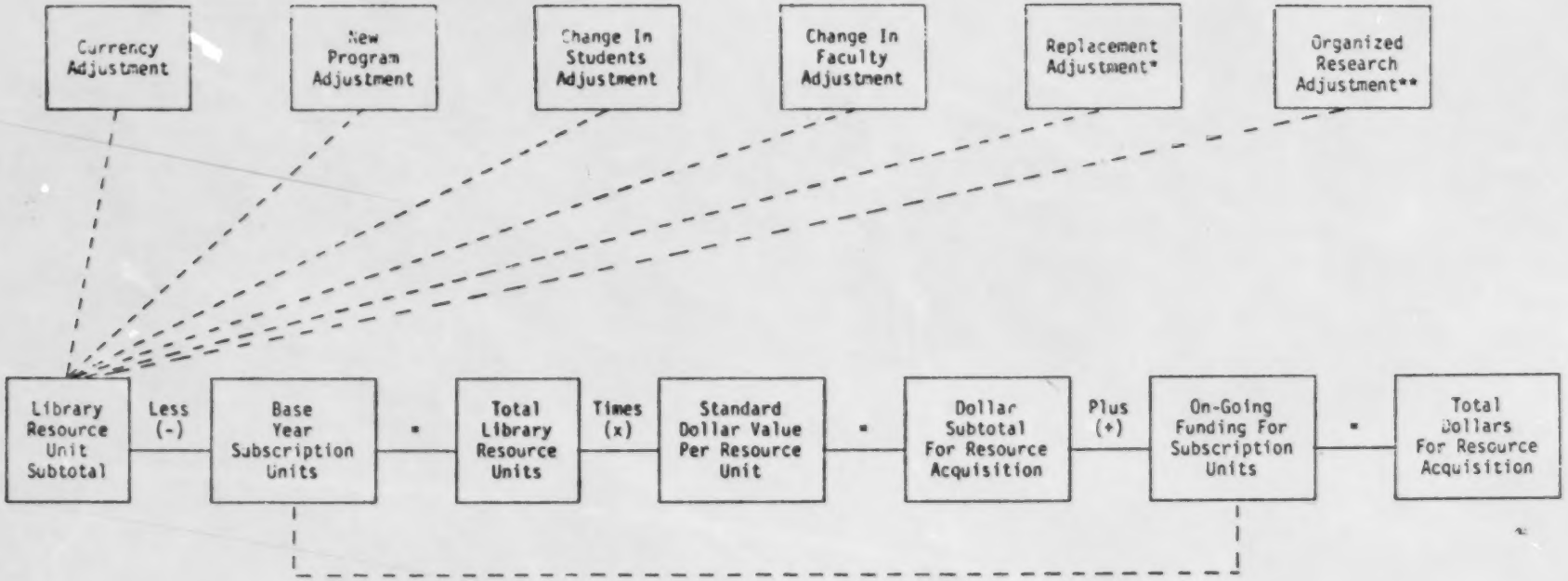
A recent report on the 1976 formula from the Washington Council for Post-secondary Education describes the "Formula Framework": "The overall objective for the library resources element is to take the current 'stock in hand' concept which relates a set of standards (shown above) to the current holdings of the four-year institutions . . . and base the overall library resources element on a fiscal year expenditure concept which relates to dollars."[17]

This approach is made up of the following criteria: a "currency factor" (five percent of standards as they apply to the base collection and the amounts related to program fields); an allowance for new program fields added; a replacement allowance; an organized research allowance and amounts for added students and faculty...The total units of resources to be added in the fiscal year would then be converted into dollars using a standard dollar value per unit except for base year periodical and serial commitments. (See Exhibit I) Exhibit I from the report shows a schematic drawing of how the Library Resources Element is formulated.[18] The standard dollar value per resource unit is based on the national average for hard cover materials as published in the Bowker Annual. The recommendation is made that the dollar value be based on a five-year linear projection of the Bowker Annual average cost.

The "currency adjustment" factor needs a word of explanation. The five percent currency adjustment is to be nonaccumulative and coupled with a five-year moving average of the change in U. S. publication rates as reflected in the Bowker Annual. In explaining the "currency adjustment", the report says that "The ability of an institutional library to adequately support its academic

EXHIBIT I

LIBRARY RESOURCES ELEMENT



*Based on the following: 0.50 times their current total holdings for each of the universities.
2.00 times their current total holdings for each of the state colleges.
3.00 times the current total holdings for the community college system.

**Based on 1,000 Resource Units per $15 million of projected Organized Research Expenditures.

programs is directly proportion to how well it is able to keep its collection current." The report further recognizes that the currency rate of five percent would not provide for fluctuations in the number of new titles published annually. "It was felt, therefore, that the currency factor should be adjusted by multiplying the five percent factor by a five-year moving average of the change in the U. S. publication rates. For example, if the "moving average" was determined to be 1.03, the currency factor would be .0515 (.05 x 1.03). If the "moving average" was determined to be .96, the currency factor would be .0480 (.05 x .96)."[19]

The formula, as shown in Exhibit I, provides for a separate recognition and funding of current subscription obligations.

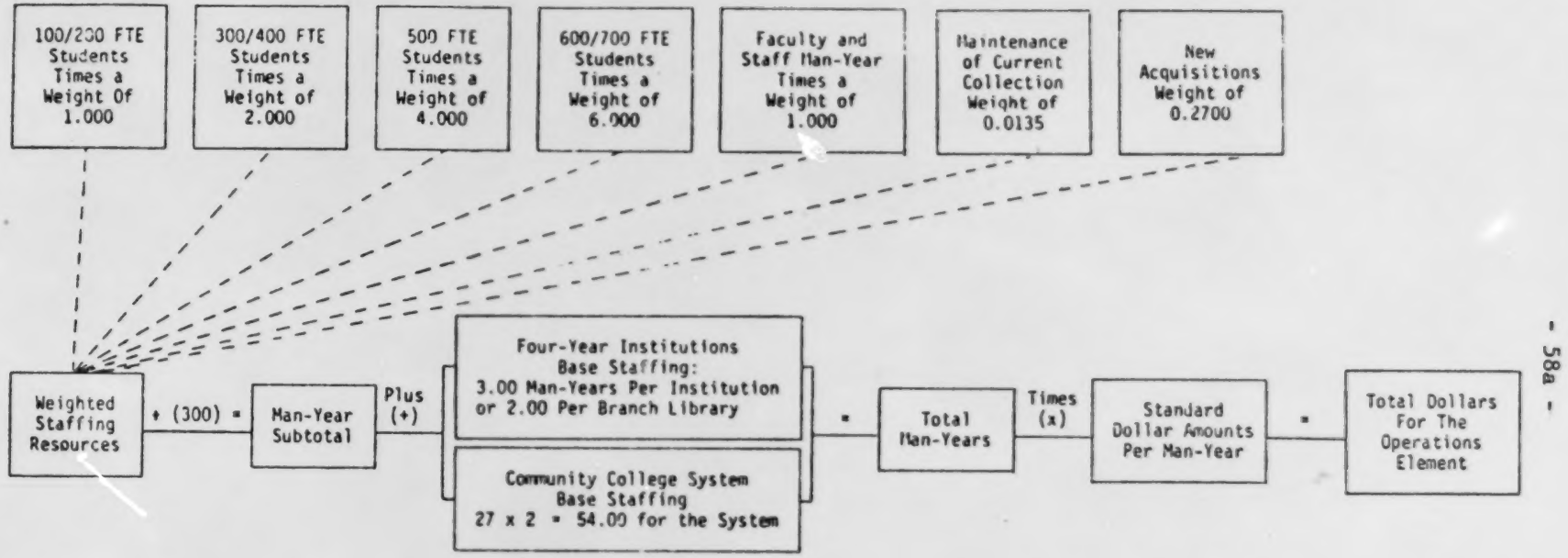
The library operations element is a formula for determining adequacy of staffing and binding. The staffing portion of the formula considers FTE students weighted at four levels of instruction, total FTE faculty, maintenance of current collection and new acquisitions, in addition to a base staffing assumption. A standard dollar amount per staff year is applied to bring this portion of the formula to a total dollar amount. The binding portion also converts to a standard dollar value. The number of current subscriptions are assumed to require one binding per year with an added factor of .2 allowance for rebinding of currently bound material. Exhibit II from the report on the formula shows how the Library Operations Element is formulated.[20]

The formula system is far too complex to explain briefly and fully. A complete explanation with supporting data are described in a 50 page report of the recommended revised library formula published by the Council for Post-secondary Education of the State of Washington in December 1975.[21]

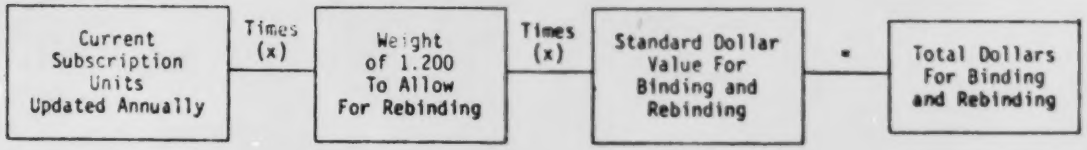
EXHIBIT II

LIBRARY OPERATIONS ELEMENT

STAFFING:


100/200 FTE Students Times a Weight Of 1.000
300/400 FTE Students Times a Weight of 2.000
500 FTE Students Times a Weight of 4.000
600/700 FTE Students Times a Weight of 6.000
Faculty and Staff Man-Year Times a Weight of 1.000
Maintenance of Current Collection Weight of 0.0135
New Acquisitions Weight of 0.2700
Weighted Staffing Resources
+ (300) =
Man-Year Subtotal
Plus (+)
Four-Year Institutions Base Staffing: 3.00 Man-Years Per Institution or 2.00 Per Branch Library
Community College System Base Staffing 27 x 2 = 54.00 for the System
=
Total Man-Years
Times (x)
Standard Dollar Amounts Per Man-Year
=
Total Dollars For The Operations Element

BINDING:


Current Subscription Units Updated Annually
Times (x)
Weight of 1.200 To Allow For Rebinding
Times (x)
Standard Dollar Value For Binding and Rebinding
=
Total Dollars For Binding and Rebinding

- 58a -

There was considerable concern and controversy about the effectiveness of the revised formulas even among the Task Force members and the staff of the Postsecondary Council. The major areas of controversy revolve around:

---the extreme complexity of the application of the four-year system of formulas;

---questions about the accuracy of library holdings and other pertinent data;

---the level and proper treatment of the "currency" issue;

---the lack of standard dollar factors and the sensitivity of the experience based factors to management decisions;

---the lack of specific identification of resource requirements of new programs;

---the disparities between staffing level percentages among institutions.[22]

Although the recommendations contained in the library formula revision were approved by the Washington Council for Postsecondary Education, the revised formula was not used by either the Governor or the legislature to determine funding levels for the 1977-79 biennium. The complexity of the formula and the many questions concerning it may explain why it was not readily accepted by the budgeting authorities. The 1970 Washington State formulas have never been fully funded. Tables II and III[23] indicate the percentage of the 1970 collections and staffing formulas funded by each public institution in the state for the three fiscal years, 1973-74, 1974-75 and 1975-76. Even though the 1970 formula is not as complex as the 1976 formula, many of the same questions may be raised about it.

TABLE II

Washington State
LIBRARY STAFFING
Percent of Formula Funded

Institution	Fiscal Year		
	1973-74	1974-75	1975-76
University of Washington	73.8	77.1	71.8
Washington State University	59.7	56.6	63.0
Central Washington State College	57.1	52.8	57.5
Eastern Washington State College	56.1	50.3	47.6
Western Washington State College	56.0	59.5	51.1
The Evergreen State College	53.2	55.7	58.2

TABLE III

Washington State
LIBRARY COLLECTIONS
Percent of Formula Funded

Institution	Fiscal Year		
	1973-74	1974-75	1975-76
University of Washington	78.3	79.1	79.5
Washington State University	68.7	70.3	68.2
Central Washington State College	86.8	88.6	86.1
Eastern Washington State College	80.6	84.3	81.4
Western Washington State College	87.8	98.3	87.1
The Evergreen State College	76.6	83.9	91.5

The Interinstitutional Library Council of the Oregon State System of Higher Education proposed a modified Washington State formula for use in the 1977-79 budgets, but it was rejected by the State Board because the requirements of the formula were too great for the funding available. The Oregon Council recommended a minimum acquisition rate of five percent of the formula or five percent of actual holdings, whichever is greater. A weeding or deletion factor of two percent per year of actual holdings was included in the formula. The cost allowance per volume would have been based on averages of combined serials and book expenditures in fiscal year 1974 adjusted for inflation.[24]

Texas formula. The formula for the budgeting of Texas public senior colleges and university libraries substantially raised library funding in that state when the Coordinating Board of the Texas College and University System adopted it in the 1960's. A differential dollar rate per semester hour is established by academic level. The rate for the Masters level is twice that for undergraduates and the doctoral level is almost nine times the undergraduate level. The formula contains a lower rate for law semester credit hours than for those at the doctoral level. The dollar figures used in this formula have been raised each year to counteract inflation. Formulas are used in 15 other areas of budgeting in the university system. All 16 formulas are developed biennially by ad hoc committees composed of system-wide representatives of the areas concerned and fiscal officers. Librarians serve on the Library Formula Committee. The recommended formulas for the library budgets for the two years of the 1977-79 biennium are given below.[25]

Coordinating Board, Texas College and University System

RECOMMENDED FORMULA
FOR
LIBRARY
Public Senior Colleges and Universities
1977-79 Biennium

Base Period semester credit hours (Summer Session 1976, Fall Semester 1976 and Spring Semester 1977) times the following rates equals dollar request for Library.

Semester CREDIT HOURS	Rates Per Base Period Semester Credit Hour: Fiscal Year 1978	Fiscal Year 1979
Undergraduate	$ 3.05	$ 3.28
Masters and Special Professional	6.13	6.60
Law	16.18	17.41
Doctoral	26.22	28.21

2/25/76

Note: Minimum of $450,000 unless total semester credit hour production is below 50,000, in which case the appropriation shall be $225,000 plus $9.00 per semester credit hour for all semester credit hours in excess of 25,000 to the minimum of $450,000.

The Texas formula is rarely funded fully, but it does serve as a vehicle for equitable distribution of available funds to the institutional libraries. At the time that the Texas formula was adopted, the concept of using semester credit hours as a formula base was not a new idea, but applying the weighted ratio by academic level of users to facilities and service was new. The idea was based on a study by Gerald L. Quatman entitled The Cost of Providing Library Services to Groups in the Purdue University Community--1961.[26] In an attempt to determine the cost of providing library facilities and services for faculty members and graduate students doing sponsored research, Quatman computed

the average costs of providing the facilities and services for undergraduates, graduate students and faculty members. Using data from the Purdue study, a library subcommittee in Texas developed differential rates for undergraduate students, masters students, doctoral students and law students. Since the 1965-67 biennium when the Texas formula was first developed, the library formula has been basically a matter of substituting higher dollar rates at each level in order to keep up with inflation.

Several other states, notably Alabama, Tennessee and Arkansas, have adopted formulas based on the Texas model.

The North Carolina Formulas. The University of North Carolina Board of Governors adopted a plan for improving libraries in 1973 which consists of two formulas: one for increasing the holdings of all libraries up to the ACRL 1959 college standard and one for increasing the continuing base budgets.[27] The 1959 ACRL standard calls for a minimum of 50,000 carefully chosen volumes for the first 600 students plus 10,000 volumes for every additional 200 students. The funding allocations were based on $12 per volume.[28]

The second part of the plan is to increase the basic and continuing total annual budgets (this includes staff as well as other operating expenditures). The basic support figure of $134 is used for each full time equivalent (FTE) baccalaureate student, twice that amount ($268) for each FTE Master's degree student, and seven times the base figure ($948) for each FTE doctoral and first professional student.

Budgeting authorities in North Carolina agreed to provide these funds in four increments over a four-year period in order to raise the libraries' holdings and budgets to the level of the formulas. The first annual increment was fully funded in 1974-75. Because of financial stingencies, the annual

increment could be funded only at 50 percent of the requirement in 1975-76. In 1976-77, the formula increments were not funded at all, but in 1977-78 the full increment was funded. The full funding of the formulas is still a goal. Formula funding has been supplemented by a percentage of funds for increased enrollment which institutions have been required to provide for library support. In addition, the libraries received an inflationary increase amounting to 25% of acquisitions budgets in 1975-76. The supplementary funding counteracted the loss of formula budgeting to some extent in 1975-76 and 1976-77.

The library budgeting plan not only has produced more equitable funding for each of the state's 16 senior institutions of higher education but it has also increased annual library expenditures by 184% from 1967-68 to 1975-76. This increase is due largely to the high priority that the staff of the UNC Board of Governors attaches to the improvement of library resources. A determined effort has been made to raise the quality of libraries in institutions that have had a long history of inadequate library funding.

California State University and Colleges funding program. The CSUC system presents library budget requests for acquisitions based on annual volume requirements for the 19 libraries in the system and for staff, according to a staffing formula.

In California, the budget for acquisitions is calculated on the basis of total number of volumes authorized for each system. The Department of Finance establishes an average price per volume derived from data published in Publisher's Weekly and Library Journal; the authorized number of volumes multiplied by the price per volume determines the total acquisitions budget for the system. The number of volumes required annually is broken down into

the following categories: volumes of current periodicals/serials, volumes of books to keep up-to-date, replacement volumes, acquisitions for new burgeoning fields of knowledge, and non-book volume equivalents (micro-forms, periodicals, etc.).[29] The number of volumes requested for the system is based on the aggregate experience of the 19 libraries involved and verified by standard formulas. The total amount of funds appropriated for acquisitions can be controlled by the budget authorities by lowering or raising either the authorized number of volumes and/or the price per volume, depending upon economic conditions and the priorities assigned to library needs. The total number of authorized volumes is distributed among the 19 campuses by the following method: (a) 9,000 volumes to all campuses to strengthen the basic collections and (b) a distribution of the remainder of the volumes in proportion to the Adjusted Student Credit Units (ASCU) taught at each campus. (An ASCU is a course credit unit adjusted by doubling the credit units taught at the graduate level and adding the product to the total of undergraduate SCU's).[30]

The CSUC staffing formulas have undergone constant change and revision over the past seven years and at the present writing it is not possible to say with any degree of certainty which staffing formulas will be used in the future. The rationale for the CSUC staffing formulas is outlined in a report of a study of book, staffing and budgeting, published in 1970 by the CSUC system.[31] In 1972 Allen reports in some detail on the CSUC formulas for public services and technical services.

The CSUC staffing formulas will change drastically in the future if the proposals in the 1977/78-1981/82 plan for Library Development are accepted.[33] The recommended formulas are based on uniform workload factors and work measurement. The California State Academic Library Staffing Study Committee

recommended the formula which is a modified SUNY formula. Detailed functions, such as filing cards, advising users, selecting serials, etc. "are related to staff effort to produce them and are measured by a set of work measurement units expressed in output terms." The result will be a series of "standard times"[34] for performing rather distinct functions both manually and by automated procedures. These functions are all related to five basic concerns of libraries: holdings, acquisitions, academic year FTE users (faculty and students), head count students, and academic year FTE faculty. The planning report says that "weighted standard times" shall be recommended every two years from the date that the program is implemented. This will be necessary to reflect shifting priorities within a library and especially to reflect changed staffing needs and productivity brought about by automation of library operations. The recomputation of "weighted standard times" shall be a requirement of the chancellor's staff assisted by campus library personnel. The resulting staffing formula that is recommended is as follows:

$$\text{General staff} = \frac{Aa + Bb + Cc + Dd + Ee}{110{,}340}$$

Where A = countable library volumes
B = Volumes added
C = Student FTE and faculty FTE
D = Head count students
E = Academic year FTE faculty
a = 2.616 minutes (Weighted Standard Time, Technical Services Standards - Holdings)
b = 139.283 minutes (WST, Technical Services Standards - Acquisitions)
c = 178.957 minutes (WST, Public Services Standards - Users)
d = 207.517 minutes (WST, Public Services Standards - Enrollment)
e = 174.174 minutes (WST, Public Services Standards - Faculty)

The 110,340 in the above formula represents, in minutes, a man-year figure (excluding sick leave and holidays). Tables are provided that demonstrate how "weighted standard times" are derived. Each WST is calculated in

minutes for specific library tasks grouped according to the five basic concerns. A table is also provided to show the total number of staff members that the formula would yield for each of the 19 campuses. If this formula is finally accepted, requests for staff would be made on the basis of the positions yielded by the formula. The new CSUC staffing proposal is an attempt to apply work measurement and scientific management to library personnel budgeting. It is a highly complex formula that will require a large amount of staff time to implement. It has not been actually tried so its effectiveness is difficult to measure but, on the surface, there are a number of pertinent questions that is poses. Will there be uniformity of measurement and accuracy from campus to campus? Can all library work, particularly at the professional level, be mechanized and quantified to this extent? Staff needs and special requirements vary among campuses. Are these taken into consideration?

The questionnaire which was returned from CSUC indicates that agreement on a library plan is sought from campus library directors, presidents and Boards of Trustees, but the budgets to support the plan are determined in the CSUC headquarters and in effect, announced to the campuses. While the campus libraries have little say-so in annual development of budgets, wide flexibility is given in the use of funds within the library allocation.

Voigt Formula. This is an acquisitions model adopted in 1973 by a committee for the University of California libraries. The author is Melvin J. Voigt, librarian emeritus of the university library at San Diego. The model, with some further modifications, is the basis of a recommendation for an annual acquisitions budget in the UC Libraries Plan for Development[35] and it is also currently in use or under consideration by several other states,

notably the State University of New York (SUNY) and the Coordinating Council for Virginia. The Voigt model is designed specifically for university libraries that support doctoral programs and large sponsored research programs. The basic principles and the quantitative factors of the formula are outlined in an article by Voigt that appeared in the July 1975 issue of College and Research Libraries.[36] It is based on the numbers of volumes deemed necessary for doctoral programs in specified subject fields. The model also takes into account the special needs of extramurally funded research, which creates extra demands on libraries in addition to other factors. Included in the formula is a supplement for undergraduate and graduate use based on enrollment and an addition for lack of access to other libraries. The major criticism of the model is that there is no empirical data to support the numbers of volumes used in the formula. Voigt readily admits this but he says "most librarians who have commented on the model believe them (the number of volumes assigned to subject fields) to be of the right order of magnitude."[37] Librarians have also raised an objection to the formula because it depends almost exclusively on doctoral programs with no weight given to master's or professional degree programs. Some administrators have expressed concern that the formula may measure some factors two or three times and some not at all, for example, credit for doctoral programs and research programs in the same fields overlap. Nevertheless, professional opinion is generally favorable. It does provide a uniform method for making comparisons among libraries supporting universities with large doctoral and research programs. Voigt has provided a formula for determining the number of volumes to be added annually as well as for assessing adequacy of the total holdings of a university library.[38]

Virginia Funding Plan. In the Virginia budget guidelines for 1978-80, the Voigt formula is used for determining the acquisitions budget for the two doctoral granting university libraries (VPI and the University of Virginia) and a different formula which is based on differential weights assigned to subject disciplines is used for four-year colleges.[39] The weights of the four-year college formulas were derived by calculating the dollar value of books published in the 1974 January-June issue of Choice, and periodicals listed by Katz and Farber.[40] The subject discipline weights are multiplied by weights assigned to program magnitude which is a measure of the number of programs in the HEGIS classification of the discipline. The total program weight is then multiplied by a dollar value ($15,095 and $15,975, for 1978-79 and 1979-80 respectively). An enrollment weight is then multiplied by the corresponding program funding to determine maintenance funding for acquisitions.

The staffing plan for Virginia senior public institutions of higher education differentiates on the basis of type of institutions.

The guidelines for staffing each of the two ARL institutions (University of Virginia and VPI) in Virginia is established by using the mean level of staffing of the group of 20 ARL institutions with the Virginia institution as its median. The guideline states: "To make this calculation, establish that group of 20 ARL institutions of which the Virginia institution is the median in terms of numbers of volumes held. To calculate the mean level of staffing for the group of 20, use the number of volumes anticipated on hand as of July 1, 1978 and July 1, 1979 to calculate staffing for 1978-79 and 1979-80, respectively."[41]

Non-ARL doctoral institutions and other universities and four-year colleges are allocated 9 FTE positions as a basic staff regardless of enrollments and one FTE position for every 400 undergraduate annual FTE students.

Library positions are also to be added on the basis of the number of graduate students and faculty members.

The staffing formula for four-year colleges, as finally approved by the Council, is not the one recommended by the Virginia Committee of Librarians. In 1976 a subcommittee of the Library Advisory Committee in Virginia made a comprehensive study of library staffing formulas and recommended that a formula similar to the State University of New York (SUNY) formula be used.[42] The SUNY formula is similar to the California State University and Colleges (CSUC) formula already described. In fact, the formula recommended by CSUC is a modified SUNY formula. The report by the Virginia committee says: "Analysis shows that of all those examined, the formula developed by the State University of New York (SUNY) appears to be the most adaptable for use in Virginia, because of its productivity and task analysis inputs, its congruence with Virginia needs, and its adoption by other states such as California."[43] The Virginia Coordinating Council did not, however, accept the SUNY formula and instead adopted a simple formula based on enrollment (which is described above).

The acquisitions funding formulas and the staffing formulas recommended by the Virginia Librarians and those adopted by the Council, although complex, provide new approaches to library funding. They are attempts to grapple with many of the factors other than enrollment that are important in determining adequacy of library funding and to differentiate between the requirements of different types of institutions.

Unfortunately, formulas, regardless of which are used, are seldom funded fully because of economic or political pressures from the state government. Sometimes when economic conditions worsen significantly, formulas are abandoned. The Florida Board of Regents, which has always advocated strong university

library resources, provided funding earmarked specifically for libraries according to a modified Washington State formula--until fiscal year 1976-77. In 1976-77, however, because of severe economic problems, formula budgeting was abandoned by the system and a lump sum based on FTE enrollment was appropriated to each institution. The University administration on each campus determined the amount to be allocated to each campus library. The total amount for public university libraries in Florida decreased by an estimated $1,000,000. Book budgets and staff at many of the institutions were significantly reduced or stabilized. Inflation caused even less purchasing power.

The Florida budget decline reflects a decrease in the rate of increase of total appropriations for higher education in Florida. According to statistics reported in the Chronicle of Higher Education, Florida's appropriations for higher education increased only 5% but actually decreased 9% when corrected for inflation for the two-year period from 1975-76 to 1976-77.[44] In 1976-77, the state ranks 48th in percent increase among the 50 states. According to budgeting authorities in Florida, library budgets were cut to save positions and to meet rising salaries and costs in other areas, particularly utilities. The situation in Florida illustrates the breakdown in formula budgeting if budgeting authorities give higher priority to other needs. Unless budgeting authorities, either at the state or campus level, give library needs high priority these needs will not be met in severe economic declines. Under such circumstances libraries must cancel periodical subscriptions, indefinitely delay the purchase of materials to support teaching and research programs, and cut services. A happy footnote (and an important one) is that in 1977-78 Florida provided an appropriation of $10,000,000 to libraries of the nine public senior institutions to make up for the severe budget cuts in 1976-77

and past inadequate funding. The appropriation will be allocated to institutions on the basis of the Washington State formula.

Summary. There is wide variation among states in budgeting methods for public academic libraries.

States develop budgeting practices to meet their own political and economic circumstances. No ideal or dominant library budgeting formula has emerged, although the Washington State and Texas models have been adopted by a number of states. New formulas, such as the Voigt formula and the Virginia formula for four-year colleges are attempts to develop more satisfactory formulas that include factors other than enrollment. There appears to be a trend toward ever more complex funding formulas for both acquisitions and staffing. There is a danger in developing formulas that are so complex that budgeting authorities and legislatures find them incomprehensible and therefore unacceptable as a funding mechanism. It is clear that formulas are not as important in obtaining adequate library funding as the commitment of state boards of higher education, state budgeting authorities and legislatures to library improvement and development. It may be just as important for librarians to convince state boards of the essential role that libraries play in the educational and research process as to develop ever more complex budgeting formulas.

Major Conclusions on Statewide Funding of Academic Libraries

1. Most state agencies of higher education do not request restricted funds for academic libraries.
2. Formulas for statewide library funding are not as important in determining the adequacy of library funding as is the commitment of the state boards of higher education to the improvement of library services and resources.

3. A statewide or systemwide plan for academic library funding generally results in more equitable funding for all public academic libraries in the state or system.
4. The absence of a statewide funding plan results in uneveness in the adequacy of funding of campus libraries and inadequate support on campuses with administrators who do not give library needs high priority.
5. Librarians are questioning the use of budgeting formulas which are based primarily on enrollment and are looking for new approaches that take into account other factors such as differential rates and costs of publications by academic programs and the requirements of large research programs.
6. When formulas are used for library funding by state agencies they are seldom fully funded because of economic or political considerations.
7. There is a trend toward the use of different funding formulas for university libraries than for four-year college libraries with no doctoral programs.
8. There is little uniformity among states in the methods of funding public senior academic libraries, but there is a trend toward the use of formulas in statewide funding plans.

Notes

[1]Ann E. Prentice, "The Lingo of Library Finance," American Libraries, v. 8, no. 10 (November 1977), pp. 551-2.

[2]Kenneth S. Allen, Current and Emerging Budgeting Techniques in Academic Libraries, Including a Critique of the Model Budget Analysis Program of the State of Washington, University of Washington Libraries, April 1972, pp. 4-18.

[3]Washington. Council for Postsecondary Education. Progress Report: Review of Higher Education Budget Formulas. December 1975, p. 2.

[4]Arthur M. McAnally, "Budgets by Formula," The Library Quarterly, v. 33, no. 2 (April 1963), pp. 159-171.

[5]Kenneth S. Allen, op. cit., pp. 18-27.

[6]Washington. Council for Postsecondary Education, op. cit., pp. 2-3.

[7]New York. State University of New York. "Factors Underlying Library Collection Development," Faculty Senate Bulletin, v. 10, no. 4 (June 1975), p. 5.

[8]Ibid., pp. 5-6.

[9]W. Kent Halstead. Statewide Planning in Higher Education, Washington, D. C., U. S. Department H.E.W., 1976, p. 412.

[10]Arthur M. McAnally, op. cit., p. 162.

[11]Verner M. Clapp and Robert T. Jordan, The Libraries of the State-Assisted Institutions of Higher Education in Ohio--Their Maintenance and Development--Guidelines for Policy, Washington, D. C., Council on Library Resources, 1964.

[12]Verner W. Clapp and Robert T. Jordan, "Quantitative Criteria for Adequacy of Academic Library Collections," College and Research Libraries, v. 26 (September 1965), pp. 371-80.

[13]Washington. The Interinstitutional Committee of Business Officers. A Model Budget Analysis System for Program 05: Libraries, Olympia, Office of Interinstitutional Business Studies, March 1970.

[14]H. William Axford, "An Approach to Performance Budgeting at the Florida Atlantic University Library," College and Research Libraries, v. 32, no. 2 (March 1971), pp. 87-104.

[15]"Standards for College Libraries," College and Research Libraries News, no. 9 (October 1975), pp. 277-279, 290-301.

[16]This table uses the Clapp-Jordan and Washington 1970 formulas from Kenneth S. Allen, op. cit., p. 20. The Washington 1976 formula is from a multilithed publication on the Washington State "Library Formula", published by the Washington State Council for Postsecondary Education, December 1975, p. 10.

[17]"Library Formula," Washington State Council for Postsecondary Education, December 1975, p. 4.

[18]Ibid., p. 5.

[19]Ibid., p. 12.

[20]Ibid., p. 7.

[21]Washington State Council for Postsecondary Education, op. cit. (See note #16).

[22]Ibid., pp. 3-4.

[23]Tables II and II were provided in a letter dated June 1, 1977 from Mr. Norman M. Fischer, Institutional Research Analyst of the State of Washington Council for Postsecondary Education.

[24]Information contained in a letter dated 15 June 1977 from the Chairman of the Oregon State System of Higher Education Interinstitutional Library Council.

[25]Texas. College and University System. Coordinating Board. "Formulas Designated by Coordinating Board for the Public Senior Colleges and Universities, 1977-79 Biennium," Austin, February 25, 1976. Multilithed.

[26]Gerald L. Quatman. The Cost of Providing Library Service to Groups in the Purdue University Community--1961, Lafayette, Ind., Purdue University Libraries, June 1962.

[27]"Standards for College Libraries," College and Research Libraries, v. 20, no. 4 (July 1959), p. 278.

[28]North Carolina. University. Board of Governors. Long-Range Planning, 1976-81. Chapel Hill, April 2, 1976, p. 300.

[29]Based on conversations with CSUC personnel and an unpublished memorandum from CSUC to the Budget Planning Administration.

[30]California. State University and Colleges. Library Development, 1977/78-1981/82, Long Beach, May 1976, pp. 32-33.

[31]California. State University and Colleges. Report on the Development of the California State College Libraries: A Study of Book, Staffing and Budgeting Problems, November 1970, pp. 53-82.

[32]Kenneth S. Allen, op. cit., pp. 23-25.

[33]California. State University and Colleges. Library Development, 1977/78-1981/82. Long Beach, May 1976, pp. 27-28, 56-61.

[34]Ibid., p. 27.

[35]California. University. The University of California Libraries: A Plan for Development, 1978-1988, July 1977, pp. 118-122.

[36]Melvin J. Voigt, "Acquisition Rates in University Libraries," College and Research Libraries, v. 36, no. 4 (July 1975), pp. 263-271.

[37]Ibid., p. 271.

[38]Ibid.

[39]Virginia. Council of Higher Education. "Budget Manual, Appendix M: Guidelines and Special Requirements for Institutions of Higher Education, 1978-1980 Biennium," (January 12, 1977).

[40]Evan Ira Farber. Classified List of Periodicals for the College Library. 5th ed., Westwood, Mass., F. W. Faxon, 1972; William Armstrong Katz. Magazines for Libraries. 2nd ed., New York, R. R. Bowker, 1972.

[41]Virginia. Council of Higher Education. op. cit., p. 17.

[42]C. Edward Huber et. al. Report of Staffing Recommendations for Virginia Institutions of Higher Education. Richmond, Virginia State Council of Higher Education, June 15, 1976.

[43]Ibid., p. 11.

[44]"Analysis of Appropriations," The Chronicle of Higher Education, v. 13, no. 8 (October 25, 1976), p. 9.

VII. Conclusions

Arthur McAnally published a study of library budgeting practices in state systems of higher education in 1963[1] when state agencies were just beginning to scrutinize campus budgets. At that time few states had adopted integrated funding plans for libraries and those states that did so used arbitrary standards that had little relationship to real needs. Nevertheless, as McAnally observed, statewide budgeting had come to many academic libraries and as he correctly predicted, "it is here to stay."[2] In 1977, systematic budgeting procedures for public academic libraries have come to at least 23 states and are likely to spread to others. Because of the economic pressures and declining enrollments of the late 1970's and 1980's, there will be even greater demand for accountability by state governments and a greater effort to coordinate budgets and resources statewide. These boards are under political pressures to provide equitable funding among all public institutions and, as a result, older funding patterns are changing. There is considerable concern on the part of some of the larger public university libraries that a leveling process is occurring, caused by a more equitable distribution of available funds within a state system.[3] In a few states, integrated budgeting plans for all libraries within a state system have been successful in raising the general level of academic library funding. The staffs of the state boards have been able to deal more effectively with legislative and budgeting authorities on the basis of integrated library funding plans than by separate institutional budget requests. Nevertheless the majority of public university and college libraries are still not directly affected by statewide funding programs, particularly those in states that use traditional budgeting methods and institutional lump sum budgeting. In those states the priorities of the institution are more important than statewide budgeting programs.

McAnally noted that "there are a great many bases and methods for preparing library budgets..., each of which has some virtues and some defects. Which formula may be the best and is likely to emerge or gain general acceptance cannot be forseen..."[4] A wider variety of budgeting formulas is being used today than in 1963 and no "ideal" has yet emerged. However, the general principles established by the Clapp-Jordan formula have been adopted in a number of formulas. The Washington State formulas for both staff and acquisitions have become national standards for assessing adequacy. The Texas model has been adopted by a number of states also. The Voigt formula is rapidly becoming a model for acquisitions requirements for doctoral granting universities. The Virginia budgeting program, in addition to enrollment and faculty, includes other variables such as the differential costs of materials by subject discipline. Virginia also has a different funding formula for research university libraries than for four-year college libraries. A "best" or "ideal" formula is not likely to be universally adopted because of, first, the variations in the missions and programs of colleges and universities and, secondly, the differences in the economic and political climates among the states. A funding plan or formula that works for one state may be a failure in another state.

Budgeting formulas are very seldom fully funded, but they do serve as vehicles to distribute available funds to institutions on the basis of specified variables. In some cases, the formulas are manipulated by budgeting officials to reflect the funds available. In other states, recommended formulas have been rejected because they generated substantially more funds than the agencies thought politically wise to request. In addition to using formulas as a basis for generating asking funds and for distributing available funds

among institutions, state agencies use them as standards for assessing the adequacy of collections and staff. Standard formulas have been used in state-wide surveys of library resources to provide data that gave visibility to library needs. If these needs are given widespread publicity the data can serve as a springboard to obtain special appropriations for improving libraries.

The first formulas were relatively simple, based mostly on percentages of the educational and research budgets of the institutions. Although simple in application, percentage formulas are arbitrary; they do not take into account the many variables that determine the adequacy of library collections and staff. The Clapp-Jordan formula was the first attempt to include factors (enrollment, faculty, and academic programs) that relate directly to library adequacy. The 1970 Washington State formula included the same factors as Clapp-Jordan but changed the requirements for each variable. However, some of the more recent formulas such as the 1976 Washington State formula program and the SUNY staffing formula, in attempts to include even more variables, have lost the advantage of simplicity; there is some evidence that they are not as acceptable to budgeting authorities because of the difficulties and the time involved in applying them. Perhaps librarians would be well advised to achieve a happy medium between simplicity and complexity. State agencies may develop funding formulas that, in theory, appear to take into account all relevant variables, but if they are not accepted by budget authorities and legislators they have failed.

McAnally points out that "the coming of systematic budgeting is neither a cause for rejoicing nor a reason for alarm, for there are advantages and disadvantages."[5] Public academic libraries in a number of states have had reason for rejoicing during the late 1960's and 1970's because they have

received substantially increased budgets as a result of statewide coordinated funding programs which in turn came about because state agency officials were convinced of the need to improve historically inadequate academic libraries and to provide more equitable funding among institutions in the system. On the other side of the coin, a few state boards have seen their role as the butcher of institutional budgets.

Some of the state agencies that use formulas provide funds for special requests to take care of local needs not covered adequately by a formula, such as supporting new academic programs or bringing particular libraries up to minimum accreditation standards. Special requests from institutions over and above formula funding should be an important element of any funding program. North Carolina has provided funds to campus libraries over and above formula funding to counteract inflation and to enable the library to keep up with enrollment increases. It has become clear that the formulas which are used are not as important in achieving adequate funding as the strength of commitment of the state system and budget officials to libraries.

Heretofore, if state agencies of higher education were concerned at all with academic libraries, the concern was budgetary. There is a growing trend, however, in overall planning and coordination of library resources of which budgeting is only one aspect. We have seen in a few states, notably California, a denial of funds for library buildings and acquisitions until the governing board developed an overall library plan to ensure the most effective sharing of resources. State agencies of higher education are becoming increasingly concerned about the use of resources and technology. Systems of higher education in the larger states (California and New York) employ sizeable staffs dedicated to the development and coordination of

library resources on a statewide level. It can be expected that other states will develop systemwide library plans. Most will depend on campus librarians and outside consultants to make surveys and to write planning documents, but if a statewide plan is to be effective, it must be monitored and supported by continuing studies of library operations as is being done in the states with full-time staffs for libraries at the system level.

McAnally pointed to the need for librarians to provide advice to officials of state agencies in developing funding and cooperative programs.[6] In 1963 there were few state committees of librarians. Now practically every state has either official advisory committees or volunteer committees. One of the principal benefits of statewide advisory committees is the increased communication among librarians themselves, resulting in more effective cooperative programs.

McAnally found little interest in library cooperation on the part of heads of state agencies and he expressed skepticism about the effectiveness of state level cooperation, especially in the development of resources.[7] In 1963 it was difficult to visualize the extensive library coordination at the state level that is now taking place in California, New York and Minnesota, for example. The shared uses of technology for cataloging, interlibrary loans and joint catalogs have been major factors in the development of state academic library systems. Statewide computerized library networks have been encouraged, and in some cases, funded directly by state legislatures. It is no longer economically feasible for a single library to afford complex local computer-based systems. Statewide programs for sharing these costs have been developed in a number of states. California and Minnesota legislatures have provided funds earmarked for cooperative purchases which are not to be duplicated among

campuses. Improved statewide delivery of library materials among campuses is also being planned and funded in California and a number of other states.

Many librarians and faculty members have a fear of statewide coordination some of which results from parochial interests in collections and institutional jealousies. McAnally listed some of the dangers: "the possibilities of regimentation (resulting in a loss of initiative, flexibility, and diversity), red tape, isolation of supervisory boards from direct contact with academic life, and the fostering of uniform mediocrity in states that finance higher education inadequately."[8] There is some apprehension among university librarians and faculty about statewide coordination because of the fear that university research collections will suffer as a result of the emphasis on resource sharing and joint on-line systems. Higher education agencies, campus administrators and librarians must guard against these dangers as states move in this direction. The "dangers" can be overcome to some extent through improved communications between librarians and officials of state agencies.

The University of California Libraries Plan for Development, 1978-1988 calls for a "new approach" to meet the needs of users in an era of budgetary austerity and rising costs.[9] The new approach involves a greater dependence on the library system and resource sharing. But it also includes adequate acquisition rates on each campus. The UC development plan recommends increased acquisitions rates on each campus based on an integrated plan for acquisitions.[10] In addition to systemwide acquisitions programs, a fully developed statewide plan for academic libraries includes the shared use of technology, more effective statewide programs of resource sharing, joint on-line catalogs, improved statewide delivery systems, cooperative acquisitions

programs, and joint storage of lesser used materials.

Although no completely developed state academic library system exists as yet, the two California colleges and university systems have articulated highly integrated plans and are moving toward full implementation. Boards of higher education in other states, for example New York, Minnesota and Virginia, have elements of integrated systems and other states can be expected to move in this direction. McAnally observed that "an era of individualism in budgeting is drawing to a close for many colleges and universities."[11] In 1977, not only has systemwide budgeting become a fact of life for many colleges and universities but the coordination of other library operations at the state level has also become a reality.

DeGennaro has said "the time has come to shift emphasis away from holdings and size to access and services." He predicts that "more realistic concepts of collection building" and "new patterns of service" will be adopted with greater dependence on a national network and nationally developed resource collections patterned after the British Lending Library.[12] The developing state systems and networks are not mentioned by de Gennaro as elements in a national plan which he puts forward as a panacea for current budgetary austerity and rising costs. National planning must not overlook the role that state systems of higher education play in the funding and coordination of academic library resources. State agencies of higher education, in many states, can and will take major responsibility for finding solutions to the funding and space problems of academic libraries through statewide funding plans and more effective programs for resource sharing. State academic library systems will undoubtedly be key elements in any national plan for library service.

Notes

[1]Arthur M. McAnally, "Budgets by formula," The Library Quarterly, v. 33, no. 2 (April 1963), pp. 159-171.

[2]Ibid., p. 168.

[3]James F. Govan, "The Better Mousetrap: External Accountability and Staff Participation," Library Trends, v. 26, no. 2 (Fall 1977), p. 256.

[4]McAnally, op. cit., p. 169.

[5]Idem.

[6]Ibid., p. 169.

[7]Ibid., p. 170.

[8]Ibid., p. 171.

[9]California. University. Office of the Executive Director of University-wide Library Planning. The University of California Libraries: A Plan for Development, Berkeley, July 1977, Chapter III: "The Need for a New Approach," pp. 35-44.

[10]Ibid., Chapter VIII: "Acquisitions and Processing of Materials," pp. 111-135.

[11]McAnally, op. cit., p. 171.

[12]Richard de Gennaro, "Austerity, Technology, and Resource Sharing: Research Libraries Face the Future," Library Journal, May 15, 1977, p. 923.

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NORTH CAROLINA STATE UNIVERSITY | AT RALEIGH

THE D. H. HILL LIBRARY
Box 5007
RALEIGH, NORTH CAROLINA 27607

The Council on Library Resources has provided me with a fellowship grant to study the role of state agencies of higher education or state systems of colleges and universities in developing institutional libraries and library services. I am particularly interested in the following:

1. Long-range plans for development of libraries of higher education

2. Library funding plans or formulas for state-supported university and college libraries

3. The functions and procedures of advisory councils of librarians and their relationship to the state agency of higher education and its staff

4. Cooperative library programs that have been developed by the libraries in the state system of higher education

5. Personnel policies for librarians in the state system of higher education.

State agencies and libraries in a number of states have been or will be visited, but I ask your cooperation in providing information by mail so that the study will include as many states as possible. I am enclosing a brief list of questions which I hope you or a staff member will answer. I am limiting my study to the coordination of library development in senior public institutions (universities and four-year colleges). You might keep this in mind in answering the questionnaire. If the space on the form is not adequate please use separate sheet.

It is important that the most effective use be made of library resources and that solutions be found to problems that libraries in higher education are facing in a period of inflation and decreasing budgets. The information gained from this survey should be helpful to both state boards (coordinating and governing) of higher education and to individual libraries. A published report will be provided. Your cooperation will be appreciated.

I. T. Littleton
Director of Libraries
N. C. State University
Raleigh, North Carolina

ITL:jy

Questions relating to college and university library development by state agencies or systems of higher education

I. General Information

1. Name of Agency

2. Type of agency (in terms of legal authority)

_____ coordinating

_____ governing

_____ other. Please explain.

3. Please enclose a list of the senior public institutions in the system

4. Chief functions of the agency (check as many as are applicable):

_____ Approval of academic programs within the system

_____ Development of long-range plans for higher education

_____ Revision and approval of institutional budgets

_____ Approval of capital improvement requests

_____ Other. Please specify.

5. Responsibility for libraries within agency

Who or which position on the staff of the system has primary responsibility for library-related matters?

_____ Academic vice-president or vice-chancellor

_____ Research vice-president or vice-chancellor

_____ Full-time Director of Libraries

_____ Other. Please specify.

II. Long-range Plans

1. Have one or more long-range plans or mission and scope statements for higher education in the state been written?

If so, please indicate years completed:

Please provide a copy of each if available.

II. Long-range Plans (continued)

2. Have long-range plans for libraries or surveys of institutional library resources and services been written and published? Yes _____ No _____

   If yes, please indicate year(s) completed:

   Please provide me with a copy if available.

3. Have quantitative goals for collection and/or staff size of libraries in the system been established or recommended? Yes _____ No _____

   If yes, I would appreciate having any documentation available with an explanation of how they were reached.

4. Has the adequacy of library holdings and service in the system been evaluated? Yes ____ No _____

   If the answer is yes, please answer the following:

   a. What methods and/or formula(s) were used to evaluate holdings and/or staff?

   (Please enclose a copy of the formula(s).)

   b. How were the results used? Check appropriate item(s):

      _____ as a basis for the development of a funding plan for the improvement of libraries

      _____ to evaluate library budget requests from institutions

      _____ other. Please explain.

5. Does the state agency collect and/or publish annual statistics on libraries in the system? Yes _____ No _____

   If yes, please answer the following:

   a. Are library statistics published annually: Yes _____ No _____

   b. Does the agency collect HEGIS forms and forward them? Yes ____ No____

   c. Does the agency keep the HEGIS statistical forms on file? Yes _____ No _____

   d. Does the agency analyze or use the statistics gathered from the HEGIS form for the evaluation of libraries? Yes _____ No _____

   If Yes, please explain.

5. (continued)

   e. If you have any further explanation on the method of collecting and the use of library statistics please explain below:

III. Library Funding

1. Please describe briefly the procedure for budgeting four-year college and university libraries in the university system. Please describe any formulas used in determining library budgets for acquisitions and staff and the extent of autonomy of institutions in deciding library budgets. (Use separate sheet or enclose printed procedures or formulas.)

2. Are funds provided for system-wide library projects and/or planning?
   Yes _____ No _____

   If yes, please specify which projects and the amounts provided to each.

3. If general institutional budgeting formulas are used have they been fully or partially funded? If partially funded, please specify the percentage funded each year for the past three years: 1973-74 _____;
   1974-75 _____; 1975-76 _____.

4. If library budgeting formulas are used have they been fully or partially funded? If partially funded, please specify the percentage funded each year for the past three years: 1973-74 _____ ;
   1974-75 _____ ; 1975-76 _____ .

5. Please check one of the following:

   _____ Total appropriations for higher education in this state during 1976-77 increased over the previous year, and the rate of increase was greater.

   _____ Total appropriations for higher education in this state increased during 1976-77 but the rate of increase declined.

   _____ Total appropriations for higher education in this state decreased during 1976-77.

6. Please check one of the following:

   _____ Total appropriations for libraries of senior public institutions in this state during 1976-77 increased over the previous year, and rate of increase was greater.

   _____ Total appropriations for libraries of senior public institutions in this state during 1976-77 increased over the previous year, but the rate of increase declined.

   _____ Total appropriations for libraries of senior public institutions in the state decreased during 1976-77.

IV. Advisory Committee of Librarians

1. Does the agency of higher education consult with librarians on library funding and other library matters? Yes _____ No _____

   If yes, how it this accomplished?

2. Does an Advisory Committee of Librarians meet with the staff of the Board or Commission on library matters? Yes _____ No _____

   If no, go on to question 3. If yes, please answer the following:

   a. Briefly describe the functions and organization of this committee.

   b. What problems or matters does the committee of librarians advise on?

3. Does an unofficial or volunteer committee or council of librarians of the system meet? Yes _____ No _____ Don't know _____

   If so, does the staff of the Board or Commission ask for advice on library matters or meet with them to discuss library-related matters?
   Yes _____ No _____

V. Cooperative Library Programs

1. Has the Board itself provided funds or initiatives in developing co-operative library programs or networks for the sharing of resources and/or cooperative acquisitions? Yes _____ No _____

   If yes, please explain.

2. Of the following cooperative projects, which have been developed among the libraries in the system?

   _____ a. Direct borrowing among libraries (check appropriate user categories for which direct borrowing is applicable):

   _____ faculty members

   _____ graduate students

   _____ undergraduate students.

   If the libraries have signed a direct borrowing agreement please send a copy or printed material about it if available.

   _____ b. A system-wide interlibrary loan service. If so, please give name and headquarters of service.

   Are interlibrary loans made to undergraduate students in the system on a regular basis. Yes _____ No _____ Don't know _____

_____ c. Union list of serials

_____ d. Union catalog of book holdings

_____ e. A computerized network for shared cataloging

_____ f. Networks for sharing resources involving telecommunications, such as TWX, courier service, etc.

_____ g. Other. Please explain.

3. Is there a joint depository for little used materials for libraries in the system? Yes _____ No _____

   If yes, please give location and address

   If no, is such a facility being planned for the future? Yes _____ No _____

   If yes, what stage of development is it in at the present time?

VI. Personnel Policies

1. Is there a uniform policy on the status of librarians for the system? Yes _____ No _____

2. If answer to above is no, does each institution determine personnel policies for librarians? Yes _____ No _____

3. If answer to question No. 1 is yes, do librarians have (check appropriate item):

   _____ Full faculty status with faculty rank and title

   _____ Faculty status with library ranks and titles

   _____ Academic status with the same perquisites as faculty but no ranks or titles

   _____ Other. Please explain.

Name and title of individual filling out questionnaire:

_____

_____

Please return questionnaire to: I. T. Littleton, D. H. Hill Library
North Carolina State University, P.O. Box 5007
Raleigh, North Carolina 27607